

# **CITY AUDITOR'S OFFICE**



## **2000-2001 ANNUAL AUDIT RECOMMENDATION FOLLOW-UP**

**Report No. CAO 2600-0203-01**

**July 9, 2002**

**RADFORD K. SNELDING, CPA, CIA, CFE  
CITY AUDITOR**

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## **2000-2001 ANNUAL AUDIT RECOMMENDATION FOLLOW-UP REPORT CAO 2600-0203-01**

### **BACKGROUND**

We have completed an annual follow-up on 247 audit recommendations. These audit recommendations consisted of 134 “carryover” audit recommendations issued between January 1999 and June 2000 and 113 audit recommendations issued between August 2000 and May 2001.

### **OBJECTIVES**

Our objectives were to determine progress made toward implementation of the recommendations contained in each report. This determination encompassed the status of the implementation and the effectiveness of the procedures put in place.

Much of the benefit from audit work is not in the findings reported or the recommendations made, but in their effective resolution. City management is responsible for addressing audit recommendations. This follow-up is a process to help management fulfill this responsibility.

### **SCOPE AND METHODOLOGY**

Our follow-up was in accordance with Operating Instruction O.I.A. 050 of the City Auditor’s Office Operating Instructions Manual. The scope of our follow-up included a determination as to whether the audit recommendations had been implemented during the period subsequent to the release of each report. City management was asked to identify the status of each recommendation using the following classifications:

- |                               |   |
|-------------------------------|---|
| ❖ <b>Complete</b>             | The Recommendation was implemented or some other action was taken to effectively correct the deficiency.  |
| ❖ <b>Partially Complete</b>   | The Recommendation was implemented or some other action has been taken; however, the deficiency has not been corrected or only part of the Recommendation has been implemented. |
| ❖ <b>No Progress</b>          | No Action has been taken.   |
| ❖ <b>No Longer Applicable</b> | The Recommendation no longer applies to the entity due to organizational changes, procedural changes, etc.  |

The following methodology was applied when management’s follow-up response indicated:

#### **Complete or No Longer Applicable**

- Interviewing appropriate personnel.
- Testing compliance with established or stated policies and procedures.
- Determining the effectiveness of established or stated policies and procedures.

#### **Partially Complete or No Progress**

- Interviewing management for clarification when necessary.

## **CONCLUSION**

Overall, City management has made significant progress toward the implementation of the audit recommendations contained in the various audit reports. The table on the following page summarizes the results of our Audit Recommendation Follow-up. We believe that the completion of the audit recommendations has helped the entities examined to operate more efficiently and effectively. For the entities where implementation remains incomplete, a greater effort should be made in achieving completion.

The recap Summary Status identified the status of each of the audits issued between January 1999 and May 2001. Following the Summary Status is a Detail Status which classifies the recommendations as Partially Complete or No Progress.

### SUMMARY STATUS BY REPORT

	C	PC	NP	NLA	Total
Office Supplies Contract Special Audit	0	2	0	1	3
<b>1999-01 Report Percentage</b>	<b>0</b>	<b>67%</b>	<b>0</b>	<b>33%</b>	<b>100%</b>
Information Technology Operations	11	6	0	0	17
<b>1999-02 Report Percentage</b>	<b>65%</b>	<b>35%</b>	<b>0</b>	<b>0</b>	<b>100%</b>
Cash Receipts Audit	2	1	0	0	3
<b>1999-03 Report Percentage</b>	<b>67%</b>	<b>33%</b>	<b>0</b>	<b>0</b>	<b>100%</b>
Building & Safety Department	1	18	0	0	19
<b>1999-04 Report Percentage</b>	<b>5%</b>	<b>95%</b>	<b>0</b>	<b>0</b>	<b>100%</b>
Department of Information Technologies – Systems Development Methodology	1	5	0	0	6
<b>1999-06 Report Percentage</b>	<b>17%</b>	<b>83%</b>	<b>0</b>	<b>0</b>	<b>100%</b>
Las Vegas Municipal Court	1	9	9	0	19
<b>1999-07 Report Percentage</b>	<b>6%</b>	<b>47%</b>	<b>47%</b>	<b>0</b>	<b>100%</b>
Fire & Rescue Services	1	12	0	0	13
<b>1999-08 Report Percentage</b>	<b>8%</b>	<b>92%</b>	<b>0</b>	<b>0</b>	<b>100%</b>
Department of Leisure Services – Recreation Division	4	18	1	0	23
<b>1999-09 Report Percentage</b>	<b>17%</b>	<b>78%</b>	<b>5%</b>	<b>0</b>	<b>100%</b>
Department of Leisure Services – Recreation Division – Community Schools	0	6	0	0	6
<b>1999-10 Report Percentage</b>		<b>100%</b>			<b>100%</b>
Citywide Payroll Process	4	19	1	1	25
<b>2000-01 Report Percentage</b>	<b>16%</b>	<b>76%</b>	<b>4%</b>	<b>4%</b>	<b>100%</b>
Special Report: Agreement Between Las Vegas Sportspark Ltd. And The City of Las Vegas	3	4	0	0	7
<b>2400-0001-01 Report Percentage</b>	<b>43%</b>	<b>57%</b>	<b>0</b>	<b>0</b>	<b>100%</b>
Audit of Parking Enforcement and Collections	27	9	0	2	38
<b>1401-0001-02 Report Percentage</b>	<b>71%</b>	<b>24%</b>	<b>0</b>	<b>5%</b>	<b>100%</b>
Special Report: Municipal Court Mail Unit	2	5	3	0	10
<b>2300-0001-03 Report Percentage</b>	<b>20%</b>	<b>50%</b>	<b>30%</b>	<b>0</b>	<b>100%</b>
Audit of Las Vegas Area Computer Traffic System (LVACTS)	8	17	0	0	25
<b>1502-0001-05 Report Percentage</b>	<b>32%</b>	<b>68%</b>	<b>0</b>	<b>0</b>	<b>100%</b>
Audit of Safety/Loss Control	23	7	2	1	33
<b>501-0001-06 Report Percentage</b>	<b>70%</b>	<b>21%</b>	<b>6%</b>	<b>3%</b>	<b>100%</b>
<b>TOTAL</b>	<b>88</b>	<b>138</b>	<b>16</b>	<b>5</b>	<b>247</b>
<b>Overall Report Percentage</b>	<b>36%</b>	<b>55%</b>	<b>7%</b>	<b>2%</b>	<b>100%</b>

C = Complete  
PC = Partially Complete

NP = No Progress  
NLA = No Longer Applicable

### SUMMARY STATUS BY DEPARTMENT

Department/ Report #	Complete	Partially Complete	No Progress	No Longer Applicable	Total
<b>Building &amp; Safety</b>					
1999-04	1	18	0	0	19
2400-0001-01	1	0	0	0	1
<b>City Manager</b>					
1999-02	3	0	0	0	3
1999-09	0	2	0	0	2
2400-0001-01	0	2	0	0	2
1401-0001-02	3	0	0	0	3
1502-0001-05	0	2	0	0	2
501-0001-06	0	1	0	0	1
<b>Detention &amp; Enf.</b>					
1401-0001-02	4	2	0	0	6
<b>Field Operations</b>					
1999-10	0	2	0	0	2
<b>Finance &amp; Business Services</b>					
1999-01	0	2	0	1	3
1999-03	1	1	0	0	2
2000-01	1	4	1	1	7
2400-0001-01	2	0	0	0	2
1401-0001-02	20	7	0	2	29
<b>Fire &amp; Rescue</b>					
1999-08	1	12	0	0	13
<b>Human Resources</b>					
2000-01	3	12	0	0	15
501-0001-06	23	6	2	1	32
<b>Information Technologies</b>					
1999-02	8	6	0	0	14
1999-06	1	5	0	0	6
2000-01	0	3	0	0	3
<b>Leisure Services</b>					
1999-03	1	0	0	0	1
1999-09	4	16	1	0	21
1999-10	0	4	0	0	4
2400-0001-01	0	2	0	0	2
<b>Municipal Court</b>					
1999-07	1	9	9	0	19
2300-0001-03	2	5	3	0	10
<b>Public Works</b>					
1502-0001-05	8	15	0	0	23
<b>TOTAL</b>	<b>88</b>	<b>138</b>	<b>16</b>	<b>5</b>	<b>247</b>
<b>PERCENTAGE</b>	<b>36%</b>	<b>55%</b>	<b>7%</b>	<b>2%</b>	<b>100%</b>

## ***Building & Safety***

1999-04      Building & Safety Department

			STATUS	PAGE
A. 1.	i	Permits System	Partially Complete	13
A. 1.	ii	Permits System	Partially Complete	13-14
A. 2.	i	Cash Receipts	Partially Complete	14
A. 2.	ii	Cash Receipts	Partially Complete	15
A. 3.	i	Plan Review and Approval	Partially Complete	15-16
A. 4.	i	Express Plan Check Program	Partially Complete	16
A. 4.	ii	Express Plan Check Program	Partially Complete	17
A. 5.	i	Complaint Processing	Partially Complete	17-18
A. 5.	ii	Complaint Processing	Partially Complete	18
A. 5.	iii	Complaint Processing	Partially Complete	19
A. 6.	i	Appeals Process	Partially Complete	20
A. 6.	v	Appeals Process	Partially Complete	20
B. 3.		Temporary Final Inspections	Partially Complete	21
B. 5.	ii	Work Performed Without A Permit	Partially Complete	21-22
B. 6.	i	Certificates Of Occupancy	Partially Complete	22
B. 6.	ii	Certificates Of Occupancy	Partially Complete	23
B. 6.	iii	Certificates Of Occupancy	Partially Complete	23-24
C. 2.	ii	Inspection Re-Fees	Partially Complete	24

## City Manager

1999-09      Building & Safety Department

C. 2.	i	Vending/Corporate Sponsorship	Partially Complete	25
C. 2.	ii	Vending/Corporate Sponsorship	Partially Complete	26

### 2400 0001 01      **Special Report: Agreement Between Las Vegas Sportspark Ltd. And The City of Las Vegas**

01.	1.	Agreement Compliance	Partially Complete	27
03.	1.	City of Las Vegas	Partially Complete	28

## City Manager

### 1502 0001 05     Audit of Las Vegas Area Computer Traffic System (LVACTS)

			STATUS	PAGE
<b>A. 4.</b>	<b>1.</b>	<b>Funding Allocation</b>	<b>Partially Complete</b>	<b>28</b>
<b>A. 4.</b>	<b>2.</b>	<b>Funding Allocation</b>	<b>Partially Complete</b>	<b>29</b>

### 501 0001 06     Audit of Safety/Loss Control

<b>01.</b>	<b>1.</b>	<b>Workplace Injury</b>	<b>Partially Complete</b>	<b>29-30</b>
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## Detention & Enforcement

### 1400 0001 02     Audit of Parking Enforcement and Collections

<b>05.</b>	<b>1.</b>	<b>Meter Coin Collections</b>	<b>Partially Complete</b>	<b>31</b>
<b>05.</b>	<b>2.</b>	<b>Meter Coin Collections</b>	<b>Partially Complete</b>	<b>31</b>

## Field Operations

### 1999 10     Department of Leisure Services – Recreation Division – Community Schools

<b>D. 2.</b>	<b>i</b>	<b>Turf Maintenance of Public School Sites</b>	<b>Partially Complete</b>	<b>32</b>
<b>D. 2.</b>	<b>ii</b>	<b>Turf Maintenance of Public School Sites</b>	<b>Partially Complete</b>	<b>33</b>

## Finance & Business Services

### 1999 01     Office Supplies Contract Special Audit

<b>4.</b>	<b>b</b>	<b>Vendor Performance</b>	<b>Partially Complete</b>	<b>34</b>
<b>6.</b>	<b>a</b>	<b>Purchasing Policy And Procedures</b>	<b>Partially Complete</b>	<b>35</b>

### 1999 03     Cash Receipts Audit

<b>E.</b>	<b>iv</b>	<b>Citywide</b>	<b>Partially Complete</b>	<b>36</b>
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### 2000 01     Citywide Payroll Process

<b>A. 3.</b>		<b>Vacation and Sick Leave Buyback</b>	<b>Partially Complete</b>	<b>37</b>
<b>B. 2.</b>	<b>i</b>	<b>Payroll Reports</b>	<b>Partially Complete</b>	<b>37-38</b>
<b>B. 2.</b>	<b>ii</b>	<b>Payroll Reports</b>	<b>Partially Complete</b>	<b>38</b>
<b>C. 2.</b>	<b>i</b>	<b>Incentive Compensation For Appointive Employees</b>	<b>No Progress</b>	<b>39</b>
<b>D. 6.</b>	<b>iv</b>	<b>Direct Deposit and Electronic Fund Transfers</b>	<b>Partially Complete</b>	<b>39-40</b>



## Finance & Business Services

### 1401 0001 02 Audit of Parking Enforcement and Collections

			STATUS	PAGE
<b>01.</b>	<b>1.</b>	<b>Delinquent Parking Citation Collections</b>	<b>Partially Complete</b>	<b>40-41</b>
<b>06.</b>	<b>1.</b>	<b>Parking System Limitations</b>	<b>Partially Complete</b>	<b>41</b>
<b>06.</b>	<b>2.</b>	<b>Parking System Limitations</b>	<b>Partially Complete</b>	<b>42</b>
<b>09.</b>	<b>3.</b>	<b>Parking Planning, Coordination, and Oversight</b>	<b>Partially Complete</b>	<b>42-43</b>
<b>11.</b>	<b>1.</b>	<b>Handicap Space Violation Fines And Penalties</b>	<b>Partially Complete</b>	<b>43</b>
<b>11.</b>	<b>2.</b>	<b>Handicap Space Violation Fines And Penalties</b>	<b>Partially Complete</b>	<b>44</b>
<b>14.</b>	<b>1.</b>	<b>Parking Hearings</b>	<b>Partially Complete</b>	<b>44</b>

## Fire Services

### 1999 08 Fire & Rescue Services

<b>B. 2.</b>	<b>ii</b>	<b>Response Time Standards</b>	<b>Partially Complete</b>	<b>45</b>
<b>C. 2.</b>		<b>Battalion Chief Job Description</b>	<b>Partially Complete</b>	<b>45-46</b>
<b>C. 3.</b>		<b>Battalion Chief Scheduling</b>	<b>Partially Complete</b>	<b>46-47</b>
<b>C. 4.</b>	<b>i</b>	<b>Paramedic Staffing</b>	<b>Partially Complete</b>	<b>47</b>
<b>C. 4.</b>	<b>ii</b>	<b>Paramedic Staffing</b>	<b>Partially Complete</b>	<b>48</b>
<b>D. 1.</b>	<b>i</b>	<b>Class Scheduling</b>	<b>Partially Complete</b>	<b>48-49</b>
<b>D. 1.</b>	<b>ii</b>	<b>Class Scheduling</b>	<b>Partially Complete</b>	<b>49-50</b>
<b>D. 1.</b>	<b>iii</b>	<b>Class Scheduling</b>	<b>Partially Complete</b>	<b>50</b>
<b>E. 1.</b>	<b>i</b>	<b>Maintenance Cost Tracking</b>	<b>Partially Complete</b>	<b>51</b>
<b>E. 1.</b>	<b>ii</b>	<b>Maintenance Cost Tracking</b>	<b>Partially Complete</b>	<b>51</b>
<b>E. 3.</b>	<b>i</b>	<b>Parts and Service Purchasing</b>	<b>Partially Complete</b>	<b>52</b>
<b>E. 3.</b>	<b>ii</b>	<b>Parts and Service Purchasing</b>	<b>Partially Complete</b>	<b>52</b>

## Human Resources

### 2000 01 Citywide Payroll Process

<b>B. 4.</b>	<b>i</b>	<b>Time In Lieu of Overtime</b>	<b>Partially Complete</b>	<b>53</b>
<b>B. 5.</b>	<b>i</b>	<b>Alternate Work Schedules</b>	<b>Partially Complete</b>	<b>53-54</b>
<b>B. 5.</b>	<b>ii</b>	<b>Alternate Work Schedules</b>	<b>Partially Complete</b>	<b>54</b>

## Human Resources

2000 01      Citywide Payroll Process

			STATUS	PAGE
<b>B. 5.</b>	<b>iii</b>	<b>Alternate Work Schedules</b>	<b>Partially Complete</b>	<b>55</b>
<b>B. 5.</b>	<b>iv</b>	<b>Alternate Work Schedules</b>	<b>Partially Complete</b>	<b>55-56</b>
<b>B. 5.</b>	<b>v</b>	<b>Alternate Work Schedules</b>	<b>Partially Complete</b>	<b>56-57</b>
<b>B. 6.</b>	<b>iii</b>	<b>Sick Leave Policy and Monitoring</b>	<b>Partially Complete</b>	<b>57</b>
<b>C. 2.</b>	<b>ii</b>	<b>Incentive Compensation For Appointive Employees</b>	<b>Partially Complete</b>	<b>58</b>
<b>C. 2.</b>	<b>iii</b>	<b>Incentive Compensation For Appointive Employees</b>	<b>Partially Complete</b>	<b>58-59</b>
<b>C. 3.</b>	<b>ii</b>	<b>Salary Step Advancements For Classified Employees</b>	<b>Partially Complete</b>	<b>59-60</b>
<b>C. 4.</b>	<b>ii</b>	<b>Career Development Action Plan</b>	<b>Partially Complete</b>	<b>60</b>
<b>E. 5.</b>	<b>i</b>	<b>Salary Range Verification</b>	<b>Partially Complete</b>	<b>61</b>

501 0001 06      Audit of Safety/Loss Control

<b>01.</b>	<b>2.</b>	<b>Workplace Injury</b>	<b>No Progress</b>	<b>62</b>
<b>01.</b>	<b>3.</b>	<b>Workplace Injury</b>	<b>Partially Complete</b>	<b>63</b>
<b>02.</b>	<b>1.</b>	<b>Vehicle Accidents</b>	<b>Partially Complete</b>	<b>63-64</b>
<b>02.</b>	<b>2.</b>	<b>Vehicle Accidents</b>	<b>Partially Complete</b>	<b>65-66</b>
<b>02.</b>	<b>5.</b>	<b>Vehicle Accidents</b>	<b>Partially Complete</b>	<b>66-67</b>
<b>03.</b>	<b>1.</b>	<b>Self-Insurance Funds</b>	<b>Partially Complete</b>	<b>67</b>
<b>06.</b>	<b>1.</b>	<b>Enforcement of Safety Rules</b>	<b>Partially Complete</b>	<b>68</b>
<b>06.</b>	<b>5.</b>	<b>Enforcement of Safety Rules</b>	<b>No Progress</b>	<b>68</b>

## Information Technologies

1999 02      Information Technology Operations

<b>B. 4.</b>	<b>i</b>	<b>Unauthorized Access</b>	<b>Partially Complete</b>	<b>69</b>
<b>D. 1.</b>	<b>i</b>	<b>Shared NT Accounts</b>	<b>Partially Complete</b>	<b>70</b>
<b>D. 1.</b>	<b>ii</b>	<b>Shared NT Accounts</b>	<b>Partially Complete</b>	<b>71</b>
<b>D. 3.</b>		<b>Sun Solaris Administration</b>	<b>Partially Complete</b>	<b>72</b>
<b>F. 3.</b>	<b>i</b>	<b>Information Technologies' Policies</b>	<b>Partially Complete</b>	<b>73</b>
<b>F. 3.</b>	<b>ii</b>	<b>Information Technologies' Policies</b>	<b>Partially Complete</b>	<b>74</b>

## Information Technologies

1999 06

Department of Information Technologies –  
Systems Development Methodology

			STATUS	PAGE
1.	i	Policy Approval and Communication	Partially Complete	75
1.	ii	Policy Approval and Communication	Partially Complete	76
2.	iii	Change Control	Partially Complete	77
8.		Post Implementation Review	Partially Complete	78
9.	i	GIS SDLC Policy	Partially Complete	79

2000 01

Citywide Payroll Process

E. 2.	iii	Access Control	Partially Complete	80
E. 6.	v	Root Access	Partially Complete	81
E. 9.		Encryption	Partially Complete	81

## Leisure Services

1999 09

Department of Leisure Services – Recreation Division

A. 1.		Master Plan	Partially Complete	82
A. 2.		Accreditation	Partially Complete	82-83
C. 1.	i	Fees	Partially Complete	83-84
C. 1.	ii	Fees	Partially Complete	84
C. 1.	iii	Fees	Partially Complete	85
C. 1.	v	Fees	Partially Complete	85-86
C. 3.		Grants	Partially Complete	86
D. 1.	ii	Registration	Partially Complete	87
D. 1.	iii	Registration	Partially Complete	88
D. 3.	i	Resident Preference	Partially Complete	89
D. 3.	ii	Resident Preference	Partially Complete	89-90
E. 1.	iii	Cash Control	Partially Complete	90
E. 2.		Budget	Partially Complete	91
E. 4.		Refunds	Partially Complete	91-92
E. 5.		Fee Waivers	Partially Complete	92

## Leisure Services

1999 09

Department of Leisure Services – Recreation Division

			STATUS	PAGE
<b>F. 2.</b>	<b>i</b>	<b>Pool Rental</b>	<b>No Progress</b>	<b>93</b>
<b>F. 3.</b>	<b>i</b>	<b>Employee Health</b>	<b>Partially Complete</b>	<b>93-94</b>

1999 10

Department of Leisure Services – Recreation Division –  
Community Schools

<b>A. 1.</b>	<b>iv</b>	<b>Vision of Community Schools</b>	<b>Partially Complete</b>	<b>94-95</b>
<b>B. 1.</b>	<b>i</b>	<b>Community School Administration Offices</b>	<b>Partially Complete</b>	<b>95</b>
<b>B. 2.</b>	<b>i</b>	<b>Track Break Program and Buildings</b>	<b>Partially Complete</b>	<b>96</b>
<b>C. 3.</b>		<b>City Network and Internet Access By Community Schools</b>	<b>Partially Complete</b>	<b>96-97</b>

2400 0001 01 Special Report: Agreement Between Las Vegas Sportspark Ltd.  
And The City of Las Vegas

<b>02.</b>	<b>1.</b>	<b>City of Las Vegas</b>	<b>Partially Complete</b>	<b>97</b>
<b>02.</b>	<b>2.</b>	<b>City of Las Vegas</b>	<b>Partially Complete</b>	<b>97-98</b>

## Municipal Court

1999 07

Las Vegas Municipal Court

<b>A. 2.</b>		<b>Training and Reference Manual</b>	<b>Partially Complete</b>	<b>99</b>
<b>A. 3.</b>		<b>Audit Pack Retention Policy</b>	<b>Partially Complete</b>	<b>100</b>
<b>B. 2.</b>	<b>ii</b>	<b>Transaction Receipts</b>	<b>Partially Complete</b>	<b>101</b>
<b>B. 2.</b>	<b>iii</b>	<b>Transaction Receipts</b>	<b>No Progress</b>	<b>102</b>
<b>B. 3.</b>	<b>i</b>	<b>Correspondence With Defendants</b>	<b>Partially Complete</b>	<b>102-103</b>
<b>B. 3.</b>	<b>ii</b>	<b>Correspondence With Defendants</b>	<b>No Progress</b>	<b>103-104</b>
<b>B. 5.</b>		<b>Processing of Bail Refunds</b>	<b>No Progress</b>	<b>104</b>
<b>B. 6.</b>		<b>Outstanding Bail Refund Checks</b>	<b>Partially Complete</b>	<b>105</b>
<b>C. 1.</b>	<b>i</b>	<b>Physical Security of Court</b>	<b>Partially Complete</b>	<b>106</b>
<b>C. 1.</b>	<b>ii</b>	<b>Physical Security of Court</b>	<b>No Progress</b>	<b>107</b>
<b>C. 2.</b>	<b>i</b>	<b>User Passwords For Court System</b>	<b>Partially Complete</b>	<b>107-108</b>
<b>C. 2.</b>	<b>iii</b>	<b>User Passwords For Court System</b>	<b>No Progress</b>	<b>108</b>
<b>C. 3.</b>	<b>i</b>	<b>Court System Record Change Access and Monitoring</b>	<b>Partially Complete</b>	<b>109</b>
<b>C. 3.</b>	<b>ii</b>	<b>Court System Record Change Access and Monitoring</b>	<b>No Progress</b>	<b>110</b>

## Municipal Court

1999 07      Las Vegas Municipal Court

			STATUS	PAGE
<b>C. 4.</b>	<b>ii</b>	<b>Limits On Cash In Drawers</b>	<b>No Progress</b>	<b>110-111</b>
<b>C. 5.</b>	<b>ii</b>	<b>Processing of Mailed Payments</b>	<b>No Progress</b>	<b>111</b>
<b>D. 1.</b>		<b>Audit Trail Reports and Monitoring</b>	<b>No Progress</b>	<b>112</b>
<b>D. 2.</b>		<b>Bail Register Report Errors</b>	<b>Partially Complete</b>	<b>112-113</b>

2300 0001 03      Special Report: Municipal Court Mail Unit

<b>01.</b>		<b>Municipal Court Mail Unit</b>	<b>Partially Complete</b>	<b>113-114</b>
<b>02.</b>		<b>Municipal Court Mail Unit</b>	<b>Partially Complete</b>	<b>115-116</b>
<b>03.</b>		<b>Municipal Court Mail Unit</b>	<b>Partially Complete</b>	<b>117-118</b>
<b>04.</b>		<b>Municipal Court Mail Unit</b>	<b>Partially Complete</b>	<b>119-120</b>
<b>05.</b>		<b>Municipal Court Mail Unit</b>	<b>Partially Complete</b>	<b>121-122</b>
<b>06.</b>		<b>Municipal Court Mail Unit</b>	<b>No Progress</b>	<b>123-124</b>
<b>07.</b>		<b>Municipal Court Mail Unit</b>	<b>No Progress</b>	<b>125-126</b>
<b>09.</b>		<b>Municipal Court Mail Unit</b>	<b>No Progress</b>	<b>127-128</b>

## Public Works

1502 0001 05      Audit of Las Vegas Area Computer Traffic System (LVACTS)

<b>A. 1.</b>	<b>1.</b>	<b>Performance Evaluation</b>	<b>Partially Complete</b>	<b>129-131</b>
<b>A. 1.</b>	<b>2.</b>	<b>Performance Evaluation</b>	<b>Partially Complete</b>	<b>132</b>
<b>A. 2.</b>	<b>1.</b>	<b>Business Resumption Plan</b>	<b>Partially Complete</b>	<b>133-134</b>
<b>A. 2.</b>	<b>2.</b>	<b>Business Resumption Plan</b>	<b>Partially Complete</b>	<b>134</b>
<b>A. 3.</b>	<b>1.</b>	<b>Physical Security</b>	<b>Partially Complete</b>	<b>135</b>
<b>A. 3.</b>	<b>2.</b>	<b>Physical Security</b>	<b>Partially Complete</b>	<b>136</b>
<b>A. 3.</b>	<b>3.</b>	<b>Physical Security</b>	<b>Partially Complete</b>	<b>136-137</b>
<b>A. 4.</b>	<b>3.</b>	<b>Funding Allocation</b>	<b>Partially Complete</b>	<b>137</b>
<b>A. 6.</b>	<b>2.</b>	<b>Training</b>	<b>Partially Complete</b>	<b>138-139</b>
<b>B. 2.</b>	<b>1.</b>	<b>System Back-up and Restoration</b>	<b>Partially Complete</b>	<b>139-140</b>
<b>B. 2.</b>	<b>2.</b>	<b>System Back-up and Restoration</b>	<b>Partially Complete</b>	<b>140-141</b>
<b>B. 3.</b>		<b>Preventive Maintenance</b>	<b>Partially Complete</b>	<b>141-142</b>
<b>B. 4.</b>		<b>Standardization of Hardware and Software</b>	<b>Partially Complete</b>	<b>142-143</b>
<b>B. 5.</b>	<b>1.</b>	<b>System Monitoring</b>	<b>Partially Complete</b>	<b>144</b>
<b>B. 5.</b>	<b>2.</b>	<b>System Monitoring</b>	<b>Partially Complete</b>	<b>144</b>

**DETAIL:**

**DEPARTMENTAL AUDIT  
RECOMMENDATION FOLLOW-UP**

**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

**A. 1. i Permits System**

**Partially Complete**

**Recommendation**

In conjunction with the re-engineering of the Permits System by Information Technology, a thorough systems needs analysis should be performed by management and IT to ensure that the end users needs are addressed and that certain functions presently being performed manually by staff are automated in the process.

**Management's Plan of Action**

Concur. We are in the final stage of the selection process for a Development Services-wide PC based system which will replace the current mainframe based system. System needs analysis has been performed and incorporated into the feature and functionality requirements of the new system.

**Follow-up Response**

4/23/02

The "go-live" date is December 16, 2002. We anticipate six months of learning the new system, "debugging", fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Hansen project is in implementation process. Estimated completion is June, 2002.

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**A. 1. ii Permits System**

**Partially Complete**

**Recommendation**

Data required from other city applications should be interfaced to the Permits System to eliminate data redundancy and to improve the accuracy of the information reported. Management should also document and prioritize their needs for system generated monitoring reports that would allow them to more effectively manage their department.

**Management's Plan of Action**

Concur. We are in the final stage of the selection process for a Development Services-wide PC based system which will replace the current mainframe based system. System needs analysis has been performed and incorporated into the feature and functionality requirements of the new system.

**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

**Follow-up Response**

4/23/02

The “go-live” date is December 16, 2002. We anticipate six months of learning the new system, “debugging”, fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Hansen project is in implementation process. Estimated completion is June, 2002.

**A. 2. i Cash Receipts**

**Partially Complete**

**Recommendation**

In order to further improve the internal controls surrounding cash receipts in the Building & Safety Department, we recommend that management address the above control weaknesses.

**Management’s Plan of Action**

Concur. Control weaknesses will be addressed as part of the new computer system. Our revenues balance everyday and this will be reflected with the new programming.

**Follow-up Response**

4/23/02

The “go-live” date is December 16, 2002. We anticipate six months of learning the new system, “debugging”, fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Hansen project is in implementation process. Estimated completion is June, 2002.



**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

**A. 2. ii Cash Receipts**

**Partially Complete**

**Recommendation**

In conjunction with the system re-design, management should ensure that cash handling procedures are properly documented to serve as a reference tool and standard for the cashiers.

**Management's Plan of Action**

Concur. Cash handling procedures will be properly documented once the new system is initiated. We already have a basic procedures manual.

**Follow-up Response**

4/23/02

The "go-live" date is December 16, 2002. We anticipate six months of learning the new system, "debugging", fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Hansen project is in implementation process. Estimated completion is June, 2002.

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**A. 3. i Plan Review and Approval**

**Partially Complete**

**Recommendation**

In conjunction with the system re-design, management should ensure that monitoring and aging reports are produced for their use to monitor the progress of the plan review process.

**Management's Plan of Action**

Concur. Required reports are part of the functions of the new system.

**Follow-up Response**

4/23/02

The "go-live" date is December 16, 2002. We anticipate six months of learning the new system, "debugging", fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

10/18/01

Plan Review process has been drastically improved through internal procedural changes. Hansen system will improve reporting. Hansen project is in implementation process. Estimated completion is June, 2002.

---

**A. 4. i Express Plan Check Program**

**Partially Complete**

**Recommendation**

Unique transaction codes should be programmed for the Express Plan Check program.

**Management's Plan of Action**

Concur. Unique transaction codes will be included in the new computer system.

**Follow-up Response**

4/23/02

The "go-live" date is December 16, 2002. We anticipate six months of learning the new system, "debugging", fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Hansen project is in implementation process. Estimated completion is June, 2002.

**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

**A. 4. ii Express Plan Check Program**

**Partially Complete**

**Recommendation**

The unique transaction codes should be included and reported on the “Average Number of Days to Review Plans” Report to determine how long it is actually taking to permit these applications.

**Management’s Plan of Action**

Concur. Unique transaction codes will be included in the new computer system.

**Follow-up Response**

4/23/02

The “go-live” date is December 16, 2002. We anticipate six months of learning the new system, “debugging”, fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Hansen project is in implementation process. Estimated completion is June, 2002.

**A. 5. i Complaint Processing**

**Partially Complete**

**Recommendation**

In order to monitor the nature of concerns that arise, management should have a means by which to effectively track all concerns and complaints received by the department.

**Management’s Plan of Action**

Concur. Although management is responsive to complaints and does track trends, we do not have a form currently in use to do so. We experimented with a “complaint form”, but the benefits did not justify the additional administrative burden imposed by already overworked staff and lack of programming. However, we will devise another process to track complaints on the new computer system and see if it works.

**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

**Follow-up Response**

4/23/02

The “go-live” date is December 16, 2002. We anticipate six months of learning the new system, “debugging”, fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Complaints have dropped to virtually nothing. Hansen Project is in implementation process. Estimated completion is June, 2002.

---

**A. 5. ii Complaint Processing**

**Partially Complete**

**Recommendation**

Management should create a form to be used to document all pertinent information regarding complaints.

**Management’s Plan of Action**

Concur. Although management is responsive to complaints and does track trends, we do not have a form currently in use to do so. We experimented with a “complaint form”, but the benefits did not justify the additional administrative burden imposed by already overworked staff and lack of programming. However, we will devise another process to track complaints on the new computer system and see if it works.

**Follow-up Response**

4/23/02

The “go-live” date is December 16, 2002. We anticipate six months of learning the new system, “debugging”, fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Complaints have dropped to virtually nothing. Hansen Project is in implementation process. Estimated completion is June, 2002.

**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

**A. 5. iii Complaint Processing**

**Partially Complete**

**Recommendation**

Management should use these forms to monitor and analyze the complaints received by the department in order to determine if any negative trends exist and to ensure that they are resolved in a timely manner.

**Management's Plan of Action**

Concur. Although management is responsive to complaints and does track trends, we do not have a form currently in use to do so. We experimented with a "complaint form", but the benefits did not justify the additional administrative burden imposed by already overworked staff and lack of programming. However, we will devise another process to track complaints on the new computer system and see if it works.

**Follow-up Response**

4/23/02

The "go-live" date is December 16, 2002. We anticipate six months of learning the new system, "debugging", fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Complaints have dropped to virtually nothing. Hansen Project is in implementation process. Estimated completion is June, 2002.

**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

**A. 6. i Appeals Process**

**Partially Complete**

**Recommendation**

Management should implement procedures to improve controls over the appeals hearing process.

**Management's Plan of Action**

Concur. This is the only appeals process in the valley, and it is widely acclaimed by builders and developers as the best around. As soon as resources are made available, all appeals will be digitally scanned and indexed by address, project identifier, and subject.

**Follow-up Response**

4/23/02

We have obtained our own scanning equipment and are working on the existing backlog at this time. Estimated completion of backlog is December 2002, then we can start scanning the Appeals.

10/18/01

We are still working on upgrade of FileNet with IT to be able to scan and index.

---

**A. 6. v Appeals Process**

**Partially Complete**

**Recommendation**

The monitoring system should include scanning petition forms for retention and analysis.

**Management's Plan of Action**

Concur. This is the only appeals process in the valley, and it is widely acclaimed by builders and developers as the best around. As soon as resources are made available, all appeals will be digitally scanned and indexed by address, project identifier, and subject.

**Follow-up Response**

4/23/02

We have obtained our own scanning equipment and are working on the existing backlog at this time. We estimate completion of the backlog in December 2002. Then we can start scanning the back appeals.

10/18/01

We are still working on upgrade of FileNet with IT to be able to scan and index.

**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

**B. 3. Temporary Final Inspections**

**Partially Complete**

**Recommendation**

In conjunction with the system re-design, management should ensure that proper reports are designed to monitor temporary final inspections and temporary Certificates of Occupancy and that appropriate notices are sent to property owners.

**Management's Plan of Action**

Concur. Tracking Temporary Finals and Certificates of Occupancy will be made part of the new computer system.

**Follow-up Response**

4/23/02

The "go-live" date is December 16, 2002. We anticipate six months of learning the new system, "debugging", fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Hansen Project is in implementation process. Estimated completion is June, 2002.

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**B. 5. ii Work Performed Without A Permit**

**Partially Complete**

**Recommendation**

Additionally, staff should monitor such properties to ensure that permits are obtained.

**Management's Plan of Action**

Concur. The new system will include automatic notifications to owners of work not permitted. We do not currently have time to manually do this, or always perform field checks.

**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

**Follow-up Response**

4/23/02

The “go-live” date is December 16, 2002. We anticipate six months of learning the new system, “debugging”, fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Hansen Project is in implementation process. Estimated completion is June, 2002.

**B. 6. i Certificates Of Occupancy**

**Partially Complete**

**Recommendation**

In conjunction with the re-design of the Permits System, management should consider automating more of the CofO issuance process.

**Management’s Plan of Action**

Concur. This is part of the required functions of the new system.

**Follow-up Response**

4/23/02

The “go-live” date is December 16, 2002. We anticipate six months of learning the new system, “debugging”, fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Hansen Project is in implementation process. Estimated completion is June, 2002.



**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

**B. 6. ii Certificates Of Occupancy**

**Partially Complete**

**Recommendation**

All information required for a CofO and available at the time of application should be obtained during the application process.

**Management's Plan of Action**

Concur, with explanation. Much of the required information is not known at the time of application.

**Follow-up Response**

4/23/02

The "go-live" date is December 16, 2002. We anticipate six months of learning the new system, "debugging", fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Hansen Project is in implementation process. Estimated completion is June, 2002.

**B. 6. iii Certificates Of Occupancy**

**Partially Complete**

**Recommendation**

All inspection results, regardless of the party performing the inspection, should be recorded on the Permits System so there is a complete history of all inspection activity for the respective building permit.

**Management's Plan of Action**

Concur. All required inspections from all departments (Building, Planning, Public Works, Fire) must be part of the new system.

**Department: Building & Safety**

**Report No.: 1999 04 Building & Safety Department**

**Follow-up Response**

4/23/02

The “go-live” date is December 16, 2002. We anticipate six months of learning the new system, “debugging”, fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Hansen Project is in implementation process. Estimated completion is June, 2002.

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**C. 2. ii Inspection Re-Fees**

**Partially Complete**

**Recommendation**

To permit closer monitoring of re-fees by Inspection Supervisors, management should request that a report be generated by the Permits System which lists all permit numbers that have had more than two rejected like kind inspections in conjunction with the Permits System re-design.

**Management’s Plan of Action**

Concur. We do not have the staff to do this now. This can be a function of the new computer system.

**Follow-up Response**

4/23/02

The “go-live” date is December 16, 2002. We anticipate six months of learning the new system, “debugging”, fixing, etc., before we can go beyond the point of basics and implement your recommendations. The final completion date would be December, 2003.

10/18/01

Vendor selected, but contract is not yet final. Estimate 12-18 months to implement.

**Department: City Manager**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**C. 2. i Vending/Corporate Sponsorship**

**Partially Complete**

**Recommendation**

City management should put out to bid all of the City's vending and the "Official Soft Drink of Las Vegas" title in order to obtain additional revenue from a soft drink vendor or distributor to support City programs.

**Management's Plan of Action**

Department of Leisure Services Management will explore the benefits of putting to bid all the City's vending and the "Official Soft Drink of Las Vegas" title in order to obtain substantial revenue from a soft drink vendor or distributor.

**Follow-up Response**

4/23/02

The City Manager's Office is recommending that a third-party administrator be hired to further develop this program. Please see CMIR titled, "Addendum: Advertising on City of Las Vegas Property" for more information.

10/22/01

This recommendation is currently being addressed by the Purchasing and Contracting Office. They have developed a "draft" RFP which is currently being reviewed by the City Attorney and other City departments having an interest in this process. Completion of this action depends upon the response from the RFP.

**Department: City Manager**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**C. 2. ii Vending/Corporate Sponsorship**

**Partially Complete**

**Recommendation**

City management should meet with the Bureau of the Blind to disseminate the necessary information related to vending as required by NRS.

**Management's Plan of Action**

Department of Leisure Services Management will coordinate a meeting with the Bureau of the Blind to disseminate the required information related to vending as required by NRS.

**Follow-up Response**

4/23/02

The City Attorney's Office has been closely involved in current vending activities. Any RFP should include an acknowledgement that a responsive and responsible respondent who is an officially licensed blind vendor by the Bureaus of Services for the Blind will have priority for any award. While a partnership between the Bureau and a sighted vendor is sanctioned by statute, such a partnership would not have priority for award of any contract. Bureau of the Blind has toured potential City of Las Vegas vending locations and staff will continue to work with the Bureau and its licensed vendors.

10/22/01

The department of Leisure Services is currently working with the City Attorney's Office (John Redlein) to develop correspondence to be submitted to the Bureau of the Blind informing them of the availability of this periodic sales opportunity, including but not limited to parks and little league concession. Leisure Services has committed to verify completion of this task no later than June 30, 2001.

**Department: City Manager**

**Report No.: 2400 0001 01 Special Report: Agreement Between Las Vegas Sportspark Ltd. And The City of Las Vegas**

**01. 1. Agreement Compliance**

**Partially Complete**

**Recommendation**

City management should notify Sportspark of the noted deficiencies and require they be remedied. Should remedial actions be insufficient, the City should enforce the terms of the Agreement.

**Management's Plan of Action**

**Follow-up Response**

4/24/02

The Department of Leisure Services met with a Sportspark representative on Thursday, 4/24/02 to review the noted deficiencies from the 8/14/00 audit report. The Sportspark official was well aware of the deficiencies and is working diligently to ensure they are remedied. He also presented information indicating that some of the deficiencies have been remedied.

Note: In a meeting held on 3/06/01, Sportspark officials indicated they were working on the following :

- exploring the possibility of building an additional hockey rink to accommodate additional hockey leagues
- coordinating with a vendor to build (6) additional batting cages
- attempting to refinance their mortgage through CIT Financial Group
- looking at utilizing the assistance of the Leisure Service Department's Marketing Unit to assist them in their marketing effort.

All of the above ideas and interests were geared toward helping the Sportspark generate revenue to meet their debt obligation and improve their efforts to promote their events & activities.

To date, Sportspark has completed the refinance of their establishment through CIT Financial Group and added (6) additional batting cages.

**Department: City Manager**

**Report No.: 2400 0001 01 Special Report: Agreement Between Las Vegas Sportspark Ltd. And The City of Las Vegas**

**03. 1. City of Las Vegas**

**Partially Complete**

**Recommendation**

The City Manager's Office should identify and communicate the roles and responsibilities of the various City departments and divisions in oversight of the Agreement.

**Follow-up Response**

4/24/02

The Department of Public Works, Real Estate & Asset Mgmt Division provided a memorandum that clearly identifies and communicates the role and responsibilities of the Department of Leisure Services in oversight of the Sportspark Agreement.

**Report No.: 1502 0001 05 Audit of Las Vegas Area Computer Traffic System (LVACTS)**

**A. 4. 1. Funding Allocation**

**Partially Complete**

**Recommendation**

The City Manager's Office should request reimbursement of \$137,000 from LVACTS for indirect costs related to LVACTS over the past year.

**Management's Plan of Action**

The fact that this recommendation was not addressed in the original LVACTS inter-local agreements or subsequent addendums makes it difficult to be unilaterally implemented by any party. If any party chooses to proceed with this recommendation, either the original agreement must be modified by an addendum, or this cost must be brought up during the regular annual budget process, and approved by a majority of the voting OMC members. If neither of these are accomplished, legal counsel should be sought to determine if this may be a breach of contract.

**Follow-up Response**

4/25/02

**NO LONGER APPLICABLE** The LVACTS partners will not accept a retroactive billing of indirect costs. However, the new FAST agreement does contain enabling language for this cost allocation. We anticipate that a new agreement will be approved by all parties by June of 2002.

**AUDITOR'S ASSESSMENT:**

**This is not "No Longer Applicable" because management has not provided documentation.**

**Department: City Manager**

**Report No.: 1502 0001 05 Audit of Las Vegas Area Computer Traffic System (LVACTS)**

**A. 4. 2. Funding Allocation**

**Partially Complete**

**Recommendation**

The City Manager's Office should ensure that future agreements and amendments (including the FAST agreement) include language in which the City is compensated at the City's burden rate.

**Management's Plan of Action**

The fact that this recommendation was not addressed in the original LVACTS inter-local agreements or subsequent addendums makes it difficult to be unilaterally implemented by any party. If any party chooses to proceed with this recommendation, either the original agreement must be modified by an addendum, or this cost must be brought up during the regular annual budget process, and approved by a majority of the voting OMC members. If neither of these are accomplished, legal counsel should be sought to determine if this may be a breach of contract.

**Follow-up Response**

4/25/02

The draft of the new FAST agreement does contain enabling language for this cost allocation. We anticipate that new agreement will be approved by all parties by June of 2002.

**Report No.: 501 0001 06 Audit of Safety/Loss Control**

**01. 1. Workplace Injury**

**Partially Complete**

**Recommendation**

The City Manager's Office should establish goals and instruct each department to develop action plans to reduce the City's injury rates.

**Management's Plan of Action**

A discussion with Nevada OSHA representatives confirmed that OSHA discourages setting goals for numbers of accidents. It is their opinion that such goal-setting may discourage appropriate reporting from injured employees. However, neither OSHA, nor Nevada statutes prohibit employers from actively seeking a reduction in lost time injuries. Therefore, Insurance Services proposes that goals be set to reduce the number and duration of lost time accidents. Information on lost time accidents over the last two years will be provided to each department. The Insurance Services Division will work with each department to develop an action plan to eliminate or reduce all lost time accidents, through the use of alternative duty, and positive departmental monitoring.

**Department: City Manager**

**Report No.: 501 0001 06 Audit of Safety/Loss Control**

In conjunction with Insurance Services, each department has already developed a structured return to work program, with sample modified duty positions and tasks. The departments will be encouraged to utilize those alternative job descriptions for an employee unable to perform his or her normal work activities. If the department is unable to utilize the employee, Insurance Services will endeavor to place the employee in an alternate department. This forces the department to bear the burden of the employee's salary without receiving the benefit of his work activities, and often serves as an incentive for the department to identify available modified duty.

Our goal is to accomplish this activity by June 30, 2001.

It should be noted that the current cost allocation system has no financial incentive to the department for returning an injured employee to work. In fact, quite the opposite is true. Once an employee is on lost time, the bulk of his salary is paid for by Workers' Compensation. As part of the planned new safety program, a recommendation will be made to change the allocation system so that individual departments have a greater financial stake in returning the employee to his position.

**Follow-up Response**

4/19/02

The City of Las Vegas officially kicked off its revitalized and revamped safety program on March 6, 2002. The kickoff program included a Council Proclamation and speeches by Mayor Oscar Goodman and City Manager Virginia Valentine. We have sent letters to and enlisted the support of three of our labor organizations in this rededication to work place safety at CLV.

Insurance Services Division has established a budget for this program and hired an outside consultant to assist us in all aspects of development of training and awareness programs; determination of specific departmental targets; goal setting for accident reduction; institution of a revamped accident investigation and analysis program; and development and implementation of an accident tracking system.

On April 18, 2002, CLV provided training to over 500 employees by a nationally known theatrical training company on fleet safety, workplace safety, and OSHA compliance requirements. The City Managers and the Human Resources Offices are committed to this revitalized program being a top priority for the foreseeable future.



**Department: Detention & Enforcement**

**Report No.: 1401 0001 02 Audit of Parking Enforcement and Collections**

**05. 1. Meter Coin Collections**

**Partially Complete**

**Recommendation**

Management should consider transferring oversight responsibility for meter coin collections to another City Department (possibly to Finance and Business Services) to allow Parking Enforcement to focus their time and efforts on enforcement issues.

**Management's Plan of Action**

An RFP to consider the cost effectiveness of outsourcing the coin collection function will be initiated.

**Follow-up Response**

4/01/02

A proposal is under consideration to hire lower grade personnel to perform collection duties. Additionally, D&E will continue to explore other alternatives with Finance & Business Services.

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**05. 2. Meter Coin Collections**

**Partially Complete**

**Recommendation**

Management should consider hiring an employee at a lower grade than that of a parking officer to perform meter coin collections. Alternatively, management should consider the cost effectiveness of outsourcing the coin collection function.

**Management's Plan of Action**

An RFP to consider the cost effectiveness of outsourcing the coin collection function will be initiated.

**Follow-up Response**

04/01/02

Partially complete. Request for personnel has been input in the past two budget cycles. Position(s) unfounded. Request is being re-submitted.

**Department: Field Operations**

**Report No.: 1999-10 Department of Leisure Services – Recreation Division  
– Community Schools**

**D. 2. i Turf Maintenance of Public School Sites**

**Partially Complete**

**Recommendation**

The Open Schools Agreement should be formally amended to properly reflect the division of responsibility for turf maintenance of all public schools.

**Management's Plan of Action**

The Department of Leisure Services met with the Parks Division Manager in October of 1999 to begin the process as outlined in these recommendations.

The Parks Division Manager will coordinate the effort to amend the Open Schools Agreement to reflect accurate turf maintenance with Clark County School District, Leisure Services Department and Community Schools representatives.

**Follow-up Response**

5/14/02

I asked Leisure Services to provide me information outlining what "City" programming is done at various elementary schools and what amount of programming time is spent on the open turf area. I defined "City programming" as official City programs that include City staff in the administration/service of the program and the program designed and formulated by City staff. I don't feel the City (Parks Division) should be obligated to maintain CCSD sites at which the City doesn't have "official" programs that utilize the open turf area.

There is a meeting scheduled for May 16th, 2002 at which this issue will be discussed. Staff from the City Managers' Office, Leisure Services and Field Operations will be involved. It is my understanding that a formal request to the CCSD to amend the Open Doors Open Schools agreement will be drafted at this meeting.

10/17/01

The only meeting I had with Leisure Services was to ask them if they in fact had programming at the sites listed in the agreement that involved activity on the turf area. My reasoning was that programming only within the school itself should not necessarily equate to the City having responsibility for turf and irrigation maintenance. To my knowledge nothing has been finalized nor submitted to the CCSD. I'll initiate a meeting with Dr. Jackson to discuss this situation and formulate a presentation to the CCSD.

**Department: Field Operations**

**Report No.: 1999-10 Department of Leisure Services – Recreation Division  
– Community Schools**

**D. 2. ii Turf Maintenance of Public School Sites**

**Partially Complete**

**Recommendation**

The Open Schools Agreement should be reviewed and evaluated by the City, Parks Maintenance and Leisure Services management for equity in responsibilities for turf maintenance. Other areas of the Agreement should be reviewed as well. Suggested changes should be communicated to Clark County School District representatives in conjunction with the “formal periodic review” permitted every five years under the Agreement (or sooner if possible).

**Management’s Plan of Action**

The Department of Leisure Services met with the Parks Division Manager in October of 1999 to begin the process as outlined in these recommendations.

The Parks Division Manager will coordinate the effort to amend the Open Schools Agreement to reflect accurate turf maintenance with Clark County School District, Leisure Services Department and Community Schools representatives.

**Follow-up Response**

5/13/02

I asked Leisure Services to provide me information outlining what “City” programming is done at various elementary schools and what amount of programming time is spent on the open turf area. I defined “City programming” as official City programs that include City staff in the administration/service of the program and the program designed and formulated by City staff. I don’t feel the City (Parks Division) should be obligated to maintain CCSD sites at which the City doesn’t have “official” programs that utilize the open turf area. There is a meeting scheduled for May 16th, 2002 at which this issue will be discussed. Staff from the City Managers’ Office, Leisure Services and Field Operations will be involved. It is my understanding that a formal request to the CCSD to amend the Open Doors Open Schools agreement will be drafted at this meeting.

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The only meeting I had with Leisure Services was to ask them if they in fact had programming at the sites listed in the agreement that involved activity on the turf area. My reasoning was that programming only within the school itself should not necessarily equate to the City having responsibility for turf and irrigation maintenance. To my knowledge nothing has been finalized nor submitted to the CCSD. I’ll initiate a meeting with Dr. Jackson to discuss this situation and formulate a presentation to the CCSD.

**Department: Finance & Business Services**

**Report No.: 1999 01 Office Supplies Contract Special Audit**

**4. b Vendor Performance**

**Partially Complete**

**Recommendation**

The responsibilities of vendor performance and monitoring should be clearly defined and assigned.

**Management's Plan of Action**

The P&C Division agrees that a formal vendor performance, monitoring and evaluation program would be very helpful. Unfortunately, a significant limitation in this area is the absence of a centralized receiving and quality control function within the city. Furthermore, while Oracle supports vendor performance tracking regarding delivery times, it is not capable of tracking objective evaluations on the quality of the material or services. The P&C Division agrees that more attention should be placed on contract administration, but disagrees with the recommendation to establish a separate contract administration function. Buyers and contract specialists are already tasked to procure and administer their procurements. The P&C Division will focus more attention on this important function. A step towards this effort is the "Post-Award Audit Review" identified in the new Procurement Review process (see Attachment A).

**Follow-up Response**

5/01/02

The Purchasing and Contracting Division has drafted a contract management policy and procedure that assigns responsibility for monitoring vendor performance to the designated contract administrator. A new city wide process for drafting, reviewing, and approving policies and procedures has been delayed due to an administrative reorganization. The Finance Department will take the initiative to disseminate our draft documents for review and comment, and ask that the City Manager approve into formal implementation. The dissemination vehicle will be the department's Tribune Intranet web site, and other departments will be expected to print and disseminate copies as needed to those who do not have Intranet access. The Finance Department expects this can be accomplished by June 30, 2002.

10/19/01

Draft Contract Management/Administration policy is under review and will be processed through the City's Policies and Procedures Approval System.

**Department: Finance & Business Services**

**Report No.: 1999 01 Office Supplies Contract Special Audit**

**6. a Purchasing Policy And Procedures**

**Partially Complete**

**Recommendation**

Purchasing and Contracts management should seek input from the buyers and the user departments to ensure the purchasing manual provides clear guidance and instructions for the purchasing function.

**Management's Plan of Action**

The Purchasing & Contracts Division concurs with the recommendation and is currently in the process of creating new City-wide policies and procedures. Drafts have already been completed and will be submitted to the City Manager for approval in the next 90 days.

**Follow-up Response**

5/02/01

The Purchasing and Contracting Division has drafted eighteen policy and procedure documents. A new city wide process for drafting, reviewing, and approving policies and procedures has been delayed due to an administrative reorganization. The Finance Department will take the initiative to disseminate our draft documents for review and comment, and ask that the City Manager approve into formal implementation. The dissemination vehicle will be the department's Tribune Intranet web site, and other departments will be expected to print and disseminate copies as needed to those who do not have Intranet access. The Finance Department expects this can be accomplished by June 30, 2002.

10/19/01

Awaiting implementation of citywide policies and procedures process.

**Department: Finance & Business Services**

**Report No.: 1999 03 Cash Receipts Audit**

**E. iv Citywide**

**Partially Complete**

**Recommendation**

The City should establish a refund policy that will allow staff to approve reimbursements based on the dollar amount and their position in the City.

**Management's Plan of Action**

The Director of Finance and the City Treasurer concur and will analyze the current reimbursement process in order to recommend and subsequently enact a new policy which facilitates the reimbursement process while maintaining proper internal controls over the process. This issue will be resolved by August 1, 1999.

**Follow-up Response**

5/01/02

A draft policy has been written, but has not yet been made formal. A new city wide process for drafting, reviewing, and approving policies and procedures has been delayed due to an administrative reorganization. The Finance Department will take the initiative to disseminate our draft documents for review and comment, and ask that the City Manager approve into formal implementation. The dissemination vehicle will be the department's Tribune Intranet web site, and other departments will be expected to print and disseminate copies as needed to those who do not have Intranet access. The Finance Department expects this can be accomplished by June 30, 2002.

10/03/01

Draft policy is under review and will be processed through the City's Policies and Procedures Approval System.

**Department: Finance & Business Services**

**Report No.: 2000 01 Citywide Payroll Process**

**A. 3. Vacation and Sick Leave Buyback**

**Partially Complete**

**Recommendation**

The “Annual Leave Exchange Notification Form” and the “Annual Sick Leave Buyback Notice” should be improved by adding a detail rollforward of each employee’s leave activity for the year.

**Management’s Plan of Action**

The Accounting Division will work with the IT Department to provide the additional leave information in a user-friendly format.

**Follow-up Response**

5/01/02

As previously reported, the updated notification “form” was produced and disseminated on November 5, 2001. The specifications for the “notice” itself have been completed and the notice, which only runs with the first payday in December, is under development.

10/04/01

The updated Annual Leave Exchange Notification Form was updated with a detail rollforward of leave activity and distributed to employees on November 5, 2001. The Annual Sick Leave Buyback Notice is under development.

---

**B. 2. i Payroll Reports**

**Partially Complete**

**Recommendation**

Payroll staff should seek input from City departments on the types of reports and improvements in current reports needed to appropriately monitor their labor hours and costs.

**Management’s Plan of Action**

The Accounting Division is in the process of developing and implementing a new time and attendance / labor distribution system purchased from Tru Trac. The implementation team crosses many departments and divisions, whose input will be sought for development of necessary and useful management reports. This new system will allow departments and divisions to establish work schedules and track hours worked and leave taken against those schedules, as well as track labor distribution costs. This system’s database will be fully interfaced with Oracle Financials (Human Resources, Payroll, and General Ledger modules). Accounting will not write reports from the legacy system, but rather will expend that effort on the new Tru Trac system.

**Department: Finance & Business Services**

**Report No.: 2000 01 Citywide Payroll Process**

**Follow-up Response**

5/01/02

Citywide response to the TruTrack training was tremendous with respect to its reporting flexibility. Unfortunately, the testing revealed deficiencies that are currently being corrected by the developer, and phased deployment is anticipated to begin in July 2002.

10/04/01

We are in the process of rolling out Tru-Track for the summer of 2001. Attention will be given to assisting the departments in finding, using and creating reports that meet their particular needs.

**B. 2. ii Payroll Reports**

**Partially Complete**

**Recommendation**

Payroll staff should communicate more effectively to City management the payroll information and reports that are currently available.

**Management's Plan of Action**

The Accounting Division is in the process of developing and implementing a new time and attendance / labor distribution system purchased from Tru Trac. The implementation team crosses many departments and divisions, whose input will be sought for development of necessary and useful management reports. This new system will allow departments and divisions to establish work schedules and track hours worked and leave taken against those schedules, as well as track labor distribution costs. This system's database will be fully interfaced with Oracle Financials (Human Resources, Payroll, and General Ledger modules). Accounting will not write reports from the legacy system, but rather will expend that effort on the new Tru Trac system.

**Follow-up Response**

5/01/02

Citywide response to the TruTrack training was tremendous with respect to its reporting flexibility ease of use. Unfortunately, the testing revealed deficiencies that are currently being corrected by the developer, and phased deployment is anticipated to begin in July 2002.

10/04/01

We are in the process of rolling out Tru-Track for the summer of 2001. Attention will be given to assisting the departments in finding, using and creating reports that meet their particular needs.



**Department: Finance & Business Services**

**Report No.: 2000 01 Citywide Payroll Process**

**C. 2. i Incentive Compensation For Appointive Employees**

**No Progress**

**Recommendation**

Finance should communicate to department directors a fixed dollar amount each year for the merit increases for all of their appointive employees.

**Management's Plan of Action**

We agree with the finding that a fixed dollar amount for each department to use for appointive merit increases is a better management tool and that moving toward a once a year review period for appointive employees will help departments to better manage and measure their merit awards.

**Follow-up Response**

5/01/02

The Budget & Finance Division has not implemented a fixed dollar budget for department labor and related benefits. The current legacy budgeting tool, SALPRO, does not support this approach. As we move toward replacing SALPRO with a new system, heavy consideration will be given towards this approach. No definitive time frame currently exists for that transition.

10/04/01

Has not been implemented. Still under consideration by City Manager; however, there are currently not tools in place to provide adequate management and control of such a change.

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**D. 6. iv Direct Deposit and Electronic Fund Transfers**

**Partially Complete**

**Recommendation**

Finance should make efforts to increase the number of EFT payments.

**Management's Plan of Action**

Finance & Business Services will be moving to full Automated Clearing House (ACH) processing of all payroll direct deposits. This is a capability provided within the Oracle Payroll module, but limited resources to convert the existing legacy direct deposit process have delayed implementation. Implementation is targeted for October 31, 2000. The ACH direct deposits will expand direct deposit service to virtually any bank requested by an employee. The Accounting Division will use all means possible to simplify enrolment, including making forms available on

**Department: Finance & Business Services**

**Report No.: 2000 01 Citywide Payroll Process**

the intranet. A direct deposit campaign will be initiated to educate employees on the benefits of direct deposit, as well as the significant cost savings to the City.

Regarding vendor and third-party EFTs, the City's Strategic Plan 2005 identifies electronic commerce as a strategy towards improved fiscal responsibility. Plans are currently being formulated in conjunction with the IT Department for implementation in fiscal year 2001.

**Follow-up Response**

05/01/02

Payroll Direct Deposit ACH is complete. The Vendor EFT project is progressing as planned, with our first phased EFT payments scheduled for mid-May. Official roll out will occur thereafter with a solicitation to vendors for this service.

10/04/01

We have definite plans to start vendor payments via EFT. We have discussed the general plan, such as which payments we will roll out first, how we will solicit vendors to participate and which vendors we will target to promote this plan. A tentative timeline has been set to start this process in Dec. 2001 and process our first EFT payments in April 2002 for travel reimbursements to employees.

**Report No.: 1401 0001 02 Audit of Parking Enforcement and Collections**

**01. 1. Delinquent Parking Citation Collections**

**Partially Complete**

**Recommendation**

We recommend that the Parking Collections Unit establish a formal delinquent parking fines and penalties collection program including the use of an automated case tracking system. City management should evaluate the internal resources necessary to operate a successful collections program and consider soliciting the services of a collection agency to further enhance their efforts.

**Management's Plan of Action**

Agree with the above recommendations. An additional collections officer has been budgeted for fiscal year 2001 and employment began on August 17, 2000. Furthermore, the City is also soliciting bids from collection agencies in connection with EMS bad debts. The EMS RFP will serve as a reference for another RFP that will consolidate various other departments that need collection services—which would include parking collections. Finance will work with IT on the

**Department: Finance & Business Services**

**Report No.: 1401 0001 02 Audit of Parking Enforcement and Collections**

use of an automated case tracking system. An investigation of commercial-off-the-shelf and in-house solutions will be conducted.

**Follow-up Response**

5/01/02

The City hired a new collection officer August 2000, and is now using the EMS collection agency to pursue out-of-state collections (The DMV “hold” program is very effective for in-state collections). Additionally, we are currently reviewing a parking collections software package for case tracking.

---

**06. 1. Parking System Limitations**

**Partially Complete**

**Recommendation**

The Parking Collections Unit, working with IT, should continue efforts to move the parking system to a Windows environment.

**Management’s Plan of Action**

Agree. Per Information Technologies, commercial-off-the-shelf Parking applications are available. A feasibility study, and resulting requirements analysis and RFP will be investigated to address these issues.

**Follow-up Response**

5/01/02

Efforts are ongoing with the Finance & Business Services and Information Technologies Departments to select a new system for parking collections, and fiscal year 2003 funding has been set aside for that purpose.

**Department: Finance & Business Services**

**Report No.: 1401 0001 02 Audit of Parking Enforcement and Collections**

**06. 2. Parking System Limitations**

**Partially Complete**

**Recommendation**

Parking should work with IT to develop transaction receipts that automatically include the change due to a customer on the receipt. A sign should be posted in the lobby of the Parking Hearings and Citation Office that encourages customers to request a receipt if they are not given one. The Parking Collections Unit should also work with IT to develop the capability of accessing parking case records by transaction receipt numbers.

**Management's Plan of Action**

Agree. Per Information Technologies, commercial-off-the-shelf Parking applications are available. A feasibility study, and resulting requirements analysis and RFP will be investigated to address these issues.

**Follow-up Response**

5/01/02

Efforts are ongoing with the Finance & Business Services and Information Technologies Departments to select a new system for parking collections, and fiscal year 2003 funding has been set aside for that purpose.

---

**09. 3. Parking Planning, Coordination, and Oversight**

**Partially Complete**

**Recommendation**

Improved monthly internal reports should be created that effectively communicate parking information to all City divisions involved in parking issues. Input on what data to include in these reports should be sought from all parties involved. Distribution of these reports should be expanded to include all parties involved in parking decisions.

**Management's Plan of Action**

Agree with recommendation. Will establish a formal parking quarterly report that will parallel the City's current Quarterly Revenue Report and Investment Report. This new report will be user friendly and will incorporate multiple years of trend analysis in both the financial and non financial areas.

**Department: Finance & Business Services**

**Report No.: 1401 0001 02 Audit of Parking Enforcement and Collections**

**Follow-up Response**

05/01/02

Meetings were held that resulted in enhancements to the parking reports. A draft report is currently available, and a finalized report should be available in September 2002.

**11. 1. Handicap Space Violation Fines And Penalties**

**Partially Complete**

**Recommendation**

City management should study this issue and seek clarification from the State on how to appropriately enforce City Ordinance 11.10.170 and NRS 484.408 and consider assessing escalating fines for repeat handicap space violators within the City.

**Management's Plan of Action**

With the changes to NRS 484.408, that went into effect on October 1, 1999 making the infraction a misdemeanor, the whole issue of disabled parking will be investigated and appropriate steps taken in line with current guidelines, policy, and NRS.

**Follow-up Response**

5/01/02

The City Attorney's Office is rewriting the ordinance to comply with the NRS. As soon as that is complete and in effect, the Parking Enforcement Unit will identify the second and third offenses on the citations. Upon review of this recommendation, the NRS will require subsequent offenses be prosecuted as misdemeanors in Municipal Court.

**Department: Finance & Business Services**

**Report No.: 1401 0001 02 Audit of Parking Enforcement and Collections**

**11. 2. Handicap Space Violation Fines And Penalties**

**Partially Complete**

**Recommendation**

The City should begin assessing late payment penalties for handicap space violators similar to those penalties currently being assessed for other violations.

**Management's Plan of Action**

With the changes to NRS 484.408, that went into effect on October 1, 1999 making the infraction a misdemeanor, the whole issue of disabled parking will be investigated and appropriate steps taken in line with current guidelines, policy, and NRS.

**Follow-up Response**

5/01/02

The Parking Collections Unit is currently doubling the fine on the first offense as a late payment penalty. The City Attorney's Office is developing an ordinance change that will allow the City to triple the fine as a late penalty on the third offense.

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**14. 1. Parking Hearings**

**Partially Complete**

**Recommendation**

The Parking Collections Unit should work with IT in automating the hearings scheduling process as currently exists in the Municipal Court. Reports for hearings should automatically be generated from the parking system.

**Management's Plan of Action**

Agree. IT will be contacted to discuss software that would automate the hearing scheduling process.

**Follow-up Response**

5/01/02

As mentioned in follow-up response to 6.1, efforts are ongoing with the Finance & Business Services and Information Technologies Departments to select a new system for parking collections, and fiscal year 2003 funding has been set aside for that purpose. The system currently under scrutiny will have the ability to schedule, track, and manage the hearing process.

**Department: Fire & Rescue**

**Report No.: 1999 08 Fire & Rescue Services**

**B. 2. ii Response Time Standards**

**Partially Complete**

**Recommendation**

The City should establish and implement a response time standard in the Ordinance for Alpha level calls.

**Management's Plan of Action**

When the original franchise ordinance and agreement were developed it was the intent of the Department to have a response time standard for Alpha level calls. Unfortunately, this could not be negotiated at that time.

**Follow-up Response**

4/26/02

This status remains the same as stated in Chief Riddle's 10/19/01 response listed below.

10/19/01

The new ambulance franchise includes a provision to impose a response time standard for Alpha level calls through the Administrative Oversight Committee (AOC). At this point response times have been averaging twenty (20) minutes, which is acceptable, and a response time standard has not been imposed. At some point if response times to Alpha level calls become unacceptable, the City can impose a response time standard.

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**C. 2. Battalion Chief Job Description**

**Partially Complete**

**Recommendation**

The Deputy Chiefs should specifically develop, document, and revise their Battalion Chief responsibilities.

**Management's Plan of Action**

Our current generalized class specification for Battalion Chief (BC) was developed in the mid-eighties, as a strategy to increase qualified applicants' interest in the BC position. Prior to that time, each BC position was separated within the Civil Service class spec system. Recruitment for jobs such as Support Services chief was problematic; in part due to the reasons noted in IV. C. 3. The individual BC positions noted in this item have areas of responsibility and specific assignments defined by their respective Deputy Chiefs. This is formalized to some extent by the

**Department: Fire & Rescue**

**Report No.: 1999 08 Fire & Rescue Services**

City's CDAP process, but is otherwise left to the discretion of the individual Deputies.

**Follow-up Response**

4/26/02

This is entirely pending on the Supervisory negotiations.

10/19/01

Fire and Rescue's position on this recommendation remains the same as before, although with the supervisory contract due to expire this fiscal year, the negotiation process may present an opportunity for some functional adjustments. Staff is in the process of reviewing its current structure and considering the possibility of making adjustments regarding both the 40-hour and 56-hour battalion chief positions.

---

**C. 3. Battalion Chief Scheduling**

**Partially Complete**

**Recommendation**

Fire and Rescue should allow for more flexibility in the administrative position work schedules.

**Management's Plan of Action**

The Department agrees that an alternative work schedule is effective in certain applications. The auditor's recommendation cannot be implemented at this time due to the minimal staffing level in the department. There are currently 13 Battalion Chief positions recognized in the labor agreement between the City of Las Vegas and Firefighters Local 1285. There are six 56-hour Suppression Battalion Chiefs and seven 40-hour Administrative Battalion Chiefs. The 56-hour Battalion Chiefs are assigned two per platoon, and each manages a Battalion. Their work shift coincides with the work shift of those they supervise. Similarly, the Administrative Battalion Chiefs work 40 hours per week because the majority of their job duties must be performed during normal business hours. The auditor's report illustrates several issues the department is aware of, but cannot be addressed with current staff. The department will continue to ask for additional staff during the budget process, and at the same time continue to search for innovative solutions to this issue.



**Department: Fire & Rescue**

**Report No.: 1999 08 Fire & Rescue Services**

**Follow-up Response**

4/26/02

The three (3) Battalion Chief positions were approved in the FY2003 Tentative Budget. Waiting for final approval in the FY2003 Final Budget.

10/19/01

As stated in the previous item, staff is in the process of evaluating the current staffing configuration of the Battalion Chiefs position.

**C. 4. i Paramedic Staffing**

**Partially Complete**

**Recommendation**

Fire and Rescue should reclassify the Paramedic position to Firefighter with a flat fee incentive pay to recognize their specialized skills.

**Management's Plan of Action**

The position of Firefighter/Paramedic is a contractual item and any changes would have to be negotiated with the Union. The position of Firefighter/Paramedic could be reclassified through negotiations with the Union. A flat fee for paramedic certification would seem to be more equitable and predictable for budget purposes.

**Follow-up Response**

4/26/02

This is currently in negotiations right now.

10/19/01

This item must be negotiated with the Fire Union. At the present time negotiations are in progress and a decision has not been made regarding this proposal.

**Department: Fire & Rescue**

**Report No.: 1999 08 Fire & Rescue Services**

**C. 4. ii Paramedic Staffing**

**Partially Complete**

**Recommendation**

Fire and Rescue should allow Captains or Engineers with Paramedic certification to fill the Paramedic need as opposed to calling in a Paramedic on overtime or callout pay.

**Management's Plan of Action**

This item is also negotiable with the Union and has been discussed at the last two contract negotiations without success. The issue of using Captains or Fire Engineers to fill paramedic vacancies is vehemently opposed by the Union. The Department would like to be able to utilize the paramedic skills of promoted Captains and Fire Engineers and will continue to pursue this issue during contract negotiations.

**Follow-up Response**

4/26/02

This is currently in negotiations right now.

10/19/01

This item must be negotiated with the Fire Union. At the present time negotiations are in progress and a decision has not been made regarding this proposal.

---

**D. 1. i Class Scheduling**

**Partially Complete**

**Recommendation**

Fire and Rescue should implement a training plan that requires minimal deviations.

**Management's Plan of Action**

The department cannot implement the recommendation with current staffing and equipment levels. The department implemented a "training shift" similar to the auditor's recommendation and the issue was successfully grieved by the labor union, primarily based on arbitrary changing of work schedules. The auditor's recommendation could be followed if additional staff were made available, and could be used to replace existing staff during training periods. The Clark County Health District mandates Emergency Medical Technician re-certification training by each member of the department once every two years. Of all the required training, this is one of the highest priorities and is a cornerstone on which the two-year calendar is designed. EMS re-certification

**Department: Fire & Rescue**

**Report No.: 1999 08 Fire & Rescue Services**

is always conducted during the first four months of the schedule in order to allow the most time for any necessary make-ups or remedial training. The remaining twenty months are designated for different topics and training is conducted in “modules”. Each day, groups of companies participate in their training module for the month while on a “delayed response” status, meaning if there is a large magnitude emergency, training is canceled and units respond to the incident because no additional staff is available to cover the emergency. Currently, training staff works Monday through Friday from 8 AM to 4 PM. This leaves a forty-hour time block once per week into which all training must fit. This does not include time for lunch and breaks. There is no time on the calendar for extra training or events without causing an overtime situation for instructors. Until more staff can be acquired, deviations from the training calendar are unavoidable.

**Follow-up Response**

4/26/02

There has been no progress with this item. We have acquired three (3) new Fire Training Officers this fiscal year but they are assigned to the rookie academies for the next year.

10/19/01

We have not implemented the "training shift" or ever attempted due to lack of staff. The current training staff works both 8-5 or 8-4 depending on the position and classification.

---

**D. 1. ii Class Scheduling**

**Partially Complete**

**Recommendation**

With a training shift, the Department should limit driving fire apparatus to the training facility.

**Management's Plan of Action**

Currently, fire apparatus is driven to the training center primarily so that crews can be available for response in the event of increased call volume or an incident of large magnitude. Other reasons for driving apparatus to the training facility includes driver training for engineer candidates and certified drivers, and the coordination of monthly maintenance and training schedules of affected companies. With a separate training shift, driving fire apparatus to the training facility would be less likely to occur.

**Department: Fire & Rescue**

**Report No.: 1999 08 Fire & Rescue Services**

**Follow-up Response**

4/26/02

There has been little progress in this area. Chief Parker has assigned this to several employees. They are currently trying to put something together to show the cost savings for video and computer based training.

10/19/01

Currently, approximately 95% of all our training occurs at the Training Center which takes out 25% of our state-of-readiness at our various stations around the city. We are working on developing a "Manipulative Skills" program which will be overseen by the Drillmaster that allows the crews to do physical training at the stations. Also being developed is the Modular Training on the personal computers at the stations. We are also trying to get a Fire Channel from Cox Communications which would allow training through telecommunications.

---

**D. 1. iii Class Scheduling**

**Partially Complete**

**Recommendation**

Fire and Rescue should provide mandated education for Firefighters at the training facility on a scheduled training shift, and video and computer training done in the stations.

**Management's Plan of Action**

The Department agrees with the concept, but finds the recommendation cost-prohibitive. There has been consideration given to the feasibility of assigning personnel to a temporary 40-hour work shift to accomplish training without having to place units in a delayed response status. In order to achieve this, we would first have to hire the 30 people we currently need, plus an additional 30 to 40 to cover those who would be on temporary assignment. With the implementation of the new RMS system and the installation of more PC's, interactive computer training will soon be an option for delivering a portion of our required training.

**Follow-up Response**

4/26/02

There has been little progress in this area. Chief Parker has assigned this to several employees. They are currently trying to put something together to show the cost savings for video and computer based training.

10/19/01

The information stated in D1 ii - Class Scheduling applies here also.

**Department: Fire & Rescue**

**Report No.: 1999 08 Fire & Rescue Services**

**E. 1. i Maintenance Cost Tracking**

**Partially Complete**

**Recommendation**

Support Services should obtain a fleet maintenance program that accommodates fire apparatus.

**Management's Plan of Action**

The Department is currently working with IT and the City Maintenance Division in evaluating and incorporating a new fleet maintenance program. This is projected to be online in two months. Management will also evaluate the Shop's practices in tracking and documenting labor, and will ensure that actual work hours are tracked.

**Follow-up Response**

4/26/02

We are still waiting for the City of Las Vegas to go forward with the Hanson Project.

10/19/01

This changed due to the City's involvement with the Hansen project. A portion of the Hansen project deals with maintenance cost tracking. We will be utilizing this project once it comes on-line.

**E. 1. ii Maintenance Cost Tracking**

**Partially Complete**

**Recommendation**

Support Services should track the actual labor time they incur repairing fire apparatus.

**Management's Plan of Action**

The Department is currently working with IT and the City Maintenance Division in evaluating and incorporating a new fleet maintenance program. This is projected to be online in two months. Management will also evaluate the Shop's practices in tracking and documenting labor, and will ensure that actual work hours are tracked.

**Follow-up Response**

4/26/02

We are still waiting for the City of Las Vegas to go forward with the Hanson Project.

10/19/01

This will be completed when the Hansen Project comes online. There is a portion of the software that deals with maintenance cost tracking.

**Department: Fire & Rescue**

**Report No.: 1999 08 Fire & Rescue Services**

**E. 3. i Parts and Service Purchasing**

**Partially Complete**

**Recommendation**

Purchasing should assign a Buyer to Support Services who will acquire expertise dealing with vehicle maintenance repairs and establishing blanket purchase orders.

**Management's Plan of Action**

Having a buyer within the Department would be a great help, not only for Support Services but to expedite all Department purchasing needs. We will be requesting this position in the next budget year. Support Services is also working to increase the number of blanket purchase orders.

**Follow-up Response**

4/26/02

The Senior Buyer position was not approved in the FY2003 Tentative Budget.

10/19/01

A Senior Buyer was requested in the FY01 and FY02 budgets but was denied both times.

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**E. 3. ii Parts and Service Purchasing**

**Partially Complete**

**Recommendation**

Support Services should record the ordering and receiving times for parts.

**Management's Plan of Action**

The time lag in ordering and receiving parts can be tracked easily through the ORACLE record. If parts are critical, the buyer will often expedite the process; we have received authorization for repairs in a matter of minutes if a critical need is expressed.

**Follow-up Response**

4/26/02

We are still waiting for the City of Las Vegas to go forward with the Hanson Project.

10/19/01

With the standardization of our fleet, this year has made stocking parts much simpler since all of our units are alike. Also when the Hansen Project is completed, it will assist our Service Writer in this area.

**Department: Human Resources**

**Report No.: 2000 01 Citywide Payroll Process**

**B. 4. i Time In Lieu of Overtime**

**Partially Complete**

**Recommendation**

City departments should more effectively budget for and manage the TILO they approve and allow staff to use.

**Management's Plan of Action**

HR agrees that City departments should more effectively manage their TILO authorization and usage. In fact, we are in the process of developing supervisory training materials to remind managers and supervisors of their responsibility in this regard. TILO is a benefit offered and can be managed successfully and effectively if the departments understand the implications and are held accountable for their use of TILO. It is our goal to follow the audit recommendations and both monitor the trends and further develop good educational programs in this area.

**Follow-up Response**

4/17/02

The Department of Human Resources does not have authority to control actions of other City Departments. This recommendation will be completed when TruTrack is implemented (estimated online date September 2002).

10/04/01

H.R. will be able to monitor the use of TILO once the true track timekeeping program is completed. Current supervisor training provided by the department includes information on paid leave approval.

**B. 5. i Alternate Work Schedules**

**Partially Complete**

**Recommendation**

Management in all departments should more closely monitor the performance of staff on alternate work schedules and hold them accountable for their scheduled work hours.

**Management's Plan of Action**

HR strongly agrees that alternate work schedules should only be considered in work units where it makes good business sense for that schedule to be in place. There has been a considerable amount of discussion regarding the use of alternate work schedules and whether they currently are effective. In addition, there is some question as to whether this subject is covered under the contract and what level of negotiation is required prior to the elimination of any current alternate

**Department: Human Resources**

**Report No.: 2000 01 Citywide Payroll Process**

work schedule. With the new time and attendance system, we will be able to monitor when employees are arriving for work. We fully support the second phase of implementation which includes an automated sign-in and sign-out that uses our proximity cards for attendance purposes.

**Follow-up Response**

4/17/02

Our initial response has not changed. Training is mandatory. The training program covers accountability of employee work hours and work schedules.

10/04/01

Our initial response has not changed.

---

**B. 5. ii Alternate Work Schedules**

**Partially Complete**

**Recommendation**

Management should consider posting employee work schedules, including lunch breaks to deter employees from deviating from their established work hours.

**Management's Plan of Action**

HR does not believe that Recommendation ii., with regard to posting work schedules, necessarily will help with this problem and may, in fact, add unnecessary work and cause undue controversy with employees.

**Follow-up Response**

4/17/02

Our response has not changed as we still do not agree with the recommendation. This recommendation will be completed when TruTrack is implemented (estimated online date September 2002).

10/04/01

The prior response has not changed.



**Department: Human Resources**

**Report No.: 2000 01 Citywide Payroll Process**

**B. 5. iii Alternate Work Schedules**

**Partially Complete**

**Recommendation**

Management in all departments should consider requiring employees to wave their access cards over specific controlled access door monitors on all arrivals and departures from work.

**Management's Plan of Action**

HR strongly agrees that alternate work schedules should only be considered in work units where it makes good business sense for that schedule to be in place. There has been a considerable amount of discussion regarding the use of alternate work schedules and whether they currently are effective. In addition, there is some question as to whether this subject is covered under the contract and what level of negotiation is required prior to the elimination of any current alternate work schedule. With the new time and attendance system, we will be able to monitor when employees are arriving for work. We fully support the second phase of implementation which includes an automated sign-in and sign-out that uses our proximity cards for attendance purposes.

**Follow-up Response**

4/17/02

Our response has not changed as a new system to track time and attendance has not as yet been implemented by the City. This recommendation will be completed when TruTrack is implemented (estimated online date September 2002).

10/04/01

Our original response has not changed.

---

**B. 5. iv Alternate Work Schedules**

**Partially Complete**

**Recommendation**

Management should periodically request and review reports from Detention and Enforcement showing times when employees entered through controlled access doors with their City access cards and use the reports as support for disciplinary measures when needed.

**Management's Plan of Action**

HR strongly agrees that alternate work schedules should only be considered in work units where it makes good business sense for that schedule to be in place. There has been a considerable amount of discussion regarding the use of alternate work schedules and whether they currently are effective. In addition, there is some question as to whether this subject is covered under the

**Department: Human Resources**

**Report No.: 2000 01 Citywide Payroll Process**

contract and what level of negotiation is required prior to the elimination of any current alternate work schedule. With the new time and attendance system, we will be able to monitor when employees are arriving for work. We fully support the second phase of implementation which includes an automated sign-in and sign-out that uses our proximity cards for attendance purposes.

**Follow-up Response**

4/17/02

Our position has not changed as the City has not as of yet implemented the card entry system. This recommendation will be completed when TruTrack is implemented (estimated online date September 2002).

10/04/01

Our original response has not changed.

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**B. 5. v Alternate Work Schedules**

**Partially Complete**

**Recommendation**

Department directors should monitor the alternate work schedules of employees within their department and discontinue any schedules that are not in the best interest of the City, department, or customers.

**Management's Plan of Action**

HR strongly agrees that alternate work schedules should only be considered in work units where it makes good business sense for that schedule to be in place. There has been a considerable amount of discussion regarding the use of alternate work schedules and whether they currently are effective. In addition, there is some question as to whether this subject is covered under the contract and what level of negotiation is required prior to the elimination of any current alternate work schedule. With the new time and attendance system, we will be able to monitor when employees are arriving for work. We fully support the second phase of implementation which includes an automated sign-in and sign-out that uses our proximity cards for attendance purposes.

**Department: Human Resources**

**Report No.: 2000 01 Citywide Payroll Process**

**Follow-up Response**

4/17/02

We agree that any alternate work schedule that is not in the best interest of the City and its customers should be discontinued. The Department of Human Resources does not however, have the authority to control the actions of other Departments. This recommendation will be completed when TruTrack is implemented (estimated online date September 2002).

10/04/01

Our original response has not changed.

---

**B. 6. iii Sick Leave Policy and Monitoring**

**Partially Complete**

**Recommendation**

The City should re-evaluate the sick leave cash incentive program and consider alternative incentives that may be more successful in discouraging sick leave abuse.

**Management's Plan of Action**

The subject of the monetary incentive is one that we would gladly reconsider at the bargaining table should we receive the direction of Council to do so in the next negotiation period.

**Follow-up Response**

4/17/02

We are currently negotiating with the LVCEA and this issue is being discussed.

10/04/01

Our response has not changed.

**Department: Human Resources**

**Report No.: 2000 01 Citywide Payroll Process**

**C. 2. ii Incentive Compensation For Appointive Employees**

**Partially Complete**

**Recommendation**

The City should consider adopting the practice of granting merit increases at the same time once a year for all appointive employees.

**Management's Plan of Action**

We agree with the finding that a fixed dollar amount for each department to use for appointive merit increases is a better management tool and that moving toward a once a year review period for appointive employees will help departments to better manage and measure their merit awards.

**Follow-up Response**

4/17/02

**COMPLETE** Human Resources has no control over this issue.

10/04/01

This practice is being considered.

**AUDITOR'S ASSESSMENT:**

No evidence was presented to the City Auditor's Office showing that this recommendation had been evaluated.

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**C. 2. iii Incentive Compensation For Appointive Employees**

**Partially Complete**

**Recommendation**

City management should consider adding a bonus component based on clearly defined performance requirements to the compensation program for all appointive employees.

**Management's Plan of Action**

The theory behind the compensation systems is that the top of the range is the top of the market for that job and to exceed that would put our compensation system out of line with this principle. We would heartily support moving toward a bonus component as long as it does not become an add on to the generous increases employees receive each year. For example, executive and management employees do not have the opportunity to receive automatic COLAs in addition to their opportunity for merits and bonuses.

**Department: Human Resources**

**Report No.: 2000 01 Citywide Payroll Process**

**Follow-up Response**

4/17/02

The philosophy expressed in the original “Management’s Plan of Action” remains the same. However, we realize that we have no means of awarding appointive employees for extraordinary performance in a given area, project, etc., especially when it falls outside what is expected of them in the way of everyday performance and those employees are sitting at the top of their respective salary ranges. We have been researching ways to accommodate such recognition in the form of a one-time bonus plan (which could take either a monetary or non-monetary form) and will have a preliminary draft of recommendations to the City Manager’s Office in early fall 2002.

10/04/01

There are no immediate plans to change the appointive compensation plan.

---

**C. 3. ii Salary Step Advancements For Classified Employees**

**Partially Complete**

**Recommendation**

Human Resources should establish policies outlining how often management should evaluate classified employees against the performance standards and how to document unsatisfactory performance.

**Management’s Plan of Action**

HR agrees that some managers and supervisors may not adequately document unsatisfactory performance so that a salary step increase may be denied when it is appropriate. We have established several leadership and supervisory programs to help managers better document performance and manage their employees. We look forward to continuing to work with managers and supervisors to accomplish this goal.

There are several ways the Career Development Action Plan can be utilized to support the management of performance. It is designed to indicate to employees the steps they need to take to improve their performance so that absent that performance, the manager can move to the disciplinary process and can readily provide the documentation needed to substantiate a denial of a step increase. There may be a need for more firm guidance from department directors to instruct their managers to follow this process and then support for their supervisors when they make these decisions.

**Department: Human Resources**

**Report No.: 2000 01 Citywide Payroll Process**

**Follow-up Response**

4/17/02

Our position on this item has not changed.

10/04/01

Our response to this item has not changed.

---

**C. 4. ii Career Development Action Plan**

**Partially Complete**

**Recommendation**

Human Resources should consider establishing a true performance evaluation program for all appointive and classified employees in conjunction with the CDAP and progressive discipline programs.

**Management's Plan of Action**

HR agrees with some of the criticisms offered with regard to the use of the CDAP; however, we find that most of these criticisms refer back to supervisors who have not properly utilized the instrument or have not taken the time to follow the directions offered in the training programs with regard to the use of the CDAP. Any method of evaluation or performance measurement finds its success or failure on the front lines as managers take the steps to utilize them appropriately. We would be glad to work with departments in our ongoing training programs to help them to understand how they can utilize the instrument.

**Follow-up Response**

4/17/02

Our response on this issue has not changed.

10/04/01

Human Resources continues to provide training on the proper use of the CDAP and the Progressive Discipline Program.

**Department: Human Resources**

**Report No.: 2000 01 Citywide Payroll Process**

**E. 5. i Salary Range Verification**

**Partially Complete**

**Recommendation**

HR should work with IT to install the salary range tables into the system.

**Management's Plan of Action**

HR concurs with your recommendation to reduce manual processes and implement automated work methods to improve efficiencies whenever possible.

Salary range controls are currently in place for all classified positions. However, during the installation and subsequent software releases, HR has been unable to implement this feature for appointive and hourly employees. HR has identified this as an issue for resolution through the City's Oracle Priorities Group. It is believed that Release 11.3 will give the additional system control and we are working with IT for resolution.

**Follow-up Response**

4/17/02

Human Resources will have a method to implement the salary range controls for all salary range tables. However, this involves coordination with IT and Payroll as well. We need to ensure that all current system patches are installed, formulas that involve the salary basis are updated or changed and that we are not near yearend processing for Payroll, i.e., W-2's and related reports. We do not anticipate being able to make changes to the current salary range tables in the production instance until September/October 2002.

This exact timing of this plan is dependent on completion of the City's time and attendance system, which, at this point, is still in implementation (with no final date of completion) and testing of the retroactive pay process. The employees from IT, HR and Payroll required to implement the salary range table changes are the same employees who are currently involved both the time and attendance and the retroactive pay projects.

10/22/01

COMPLETE -- Our response has not changed.

**AUDITOR'S ASSESSMENT:**

HR has not implemented the salary change verification for all employees.

**Department: Human Resources**

**Report No.: 501 0001 06 Audit of Safety/Loss Control**

**01. 2. Workplace Injury**

**No Progress**

**Recommendation**

The Safety/Loss Control Officer should prepare an annual benchmarking study to compare the City's injury rates with other entities.

**Management's Plan of Action**

As reported earlier, the Insurance Services Department agrees that benchmarking with other government agencies is an effective management tool. To date, it has been difficult to do so, as entities have different reporting mechanisms and philosophies. It has been difficult to compare "apples to apples".

The Insurance Services Department has recently learned that the Public Risk Data Project (PRDP) is being expanded to include workers' compensation. Entities involved in the project will provide organizational data to the project so that like entities can be compared. Each entity will be provided with the same injury codes, so that injuries may be tracked uniformly. The PRDP is working with various risk management software vendors to develop the enhancements necessary to undertake this project. Our software vendor, Pyramid, is one of the software vendors involved.

The PRDP representative indicated they anticipate start-up by mid-October. It will require updating our computer system, and we cannot, of course, begin until PRDP is ready, but our goal is to become part of the PRDP workers' compensation data study by year-end, 2001.

**Follow-up Response**

4/15/02

We received notice on 4/17 that the data bank was ready to receive data. However, our computer system (Pyramid) currently does not support the coding necessary to participate in this project. The PRDP staff and the support/development section of Pyramid have agreed to work together to incorporate the revisions necessary to support this project into the new Pyramid Release 1.3, scheduled for release July 1, 2002. In addition, we are in the process of working with the Information Technology group to analyze alternative computer systems. Once we have either transferred to a new system or upgraded our current system, we can begin participating in the PRDP study.



**Department: Human Resources**

**Report No.: 501 0001 06 Audit of Safety/Loss Control**

**01. 3. Workplace Injury**

**Partially Complete**

**Recommendation**

The City should consider establishing a website for City employees and the public to report unsafe working conditions in the City.

**Management's Plan of Action**

The Insurance Services Division agrees employees should be afforded every opportunity for reporting unsafe conditions. We have contacted the Information Technology Department to ask for their assistance in setting up a safety website on the Intranet. An estimated time for completion cannot be provided, as IT will schedule this project in accordance to their departmental priorities.

**Follow-up Response**

4/15/02

A prototype of the safety website has been completed. IT has established a deadline of 5/1/02 for completion.

---

**02. 1. Vehicle Accidents**

**Partially Complete**

**Recommendation**

The City should establish long-term and short-term goals to reduce vehicle accidents.

**Management's Plan of Action**

Insurance Services agrees with each of the audit report recommendations.

While the average cost per vehicle accident is relatively low, any vehicle accident places the City at risk for suit under the tort claims statutes, and carries the risk of serious injury or loss of life of either a valued employee or an equally valued citizen. Accidents involving only City vehicles, with no bodily injury, still may result in increased maintenance and repair costs.

A vehicle safety initiative launched in 1998, called "The Road to Safety", was moderately successful. It involved an incentive program based on a number of factors such as hours driven, completion of defensive driving classes, and motor vehicle maintenance. The program resulted in a 40% reduction in the number of vehicle accidents deemed to be the fault of our employees. However, it required the participation and support of all departmental managers, and while some embraced the program, others were not prepared to dedicate the time needed for individual

**Department: Human Resources**

**Report No.: 501 0001 06 Audit of Safety/Loss Control**

record-keeping. It was not continued.

Employees who are allowed by their supervisors to operate a City vehicle without attending initial or refresher driver training programs do so in direct violation of company policy. Insurance Services provides a monthly report to every department on the status of their driving employees. The departments are instructed to schedule their employees for such training, and they are reminded that employees who are not in current status must not be allowed to operate a City vehicle. a City vehicle backs up.

As indicated elsewhere in the audit report, in the case of preventable accidents, discipline is unevenly enforced. Employees involved in preventable accidents often see no negative consequences. In addition, the audit reported that an observation of 56 City vehicles showed 37 were operated by City employees without seatbelts. We find this totally unacceptable, and again, in direct violation of City policy. An employee using a City vehicle without a seatbelt should be immediately subject to discipline. However, that appears not to be the case.

Unfortunately, Insurance Services cannot mandate accountability or participation from any department or division. Therefore, we whole-heartedly support the establishment of short and long term vehicle accident and injury reduction goals, and believe that operational management must be held accountable for implementation of policies designed to achieve those goals, including those policies already established, but under-enforced. Aggressive educational goals and disciplinary guidelines will be included in the proposed comprehensive safety initiative previously discussed in this memo.

In the interim, Insurance Services will assist individual divisions to establish and implement effective action plans to reduce vehicle accidents. Meetings will be scheduled with each division, currently using fleet vehicles, to review their vehicle accident records and establish vehicle accident reduction plans. This activity will be accomplished by June 30,2000. However, it should be noted that without management support, we will only be able to recommend activities, not enforce them.

**Follow-up Response**

4/15/02

A safety/loss control consultant has been contracted. He is currently working with the individual divisions to establish appropriate safety goals.

**Department: Human Resources**

**Report No.: 501 0001 06 Audit of Safety/Loss Control**

**02. 2. Vehicle Accidents**

**Partially Complete**

**Recommendation**

Operational management should be held accountable to ensure they develop and implement an effective action plan to reduce vehicle accidents.

**Management's Plan of Action**

Insurance Services agrees with each of the audit report recommendations.

While the average cost per vehicle accident is relatively low, any vehicle accident places the City at risk for suit under the tort claims statutes, and carries the risk of serious injury or loss of life of either a valued employee or an equally valued citizen. Accidents involving only City vehicles, with no bodily injury, still may result in increased maintenance and repair costs.

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Employees who are allowed by their supervisors to operate a City vehicle without attending initial or refresher driver training programs do so in direct violation of company policy. Insurance Services provides a monthly report to every department on the status of their driving employees. The departments are instructed to schedule their employees for such training, and they are reminded that employees who are not in current status must not be allowed to operate a City vehicle. a City vehicle backs up.

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**Department: Human Resources**

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In the interim, Insurance Services will assist individual divisions to establish and implement effective action plans to reduce vehicle accidents. Meetings will be scheduled with each division, currently using fleet vehicles, to review their vehicle accident records and establish vehicle accident reduction plans. This activity will be accomplished by June 30, 2000. However, it should be noted that without management support, we will only be able to recommend activities, not enforce them.

**Follow-up Response**

4/15/02

A safety/loss control consultant has been contracted. He is currently working with the individual divisions to establish appropriate safety goals. It should be noted that Insurance Services has no authority to mandate accountability or participation. That mandate must come from the City Manager's Office.

---

**02. 5. Vehicle Accidents**

**Partially Complete**

**Recommendation**

The defensive driving course should be evaluated to determine its effectiveness.

**Management's Plan of Action**

The current defensive driving class is provided to all employees driving a City vehicle and is mandated on an annual basis, rather than the bi-annual class required by other municipalities. It is provided by the Personnel and Organizational Services Division, and is based on the National Safety Council Defensive Driving classes. The current class was instituted approximately 9 months ago in response to employee suggestions that the previous class, also based on the National Safety Council Defensive Driving classes, had become repetitive. Insurance Services has previewed classes from other vendors and we have not found a cost-effective alternative that provides substantially different material than that already provided in the current class. We will continue to look for effective alternatives. However, discussions have begun with Clark County regarding use of driving simulators. Clark County owns simulators, but thus far, has been unable to locate a site in which to place them, suitable for employee training. Their Risk Management

**Department: Human Resources**

**Report No.: 501 0001 06 Audit of Safety/Loss Control**

Department has offered to enter into a partnership, wherein the City provides the site, and the County provides the simulators.

Talks will be ongoing, and it is hoped a suitable site can be established by June, 2002.

**Follow-up Response**

4/15/02

The safety/loss control consultant has been scheduled to attend the current class and will provide us with recommendations of improvements to the program. He has also begun evaluating alternative outside programs.

**03. 1. Self-Insurance Funds**

**Partially Complete**

**Recommendation**

The City should require actuarial studies be done for its self-insurance funds at least on a bi-annual basis.

**Management's Plan of Action**

Insurance Services contacted Mark Vincent, Director of Finance, to discuss the current actuarial studies done on reserves, and request his opinion on the scope and timing of actuarial studies specific to the self-insured trust funds. We have received his response recommending such a study, and have begun investigating possible vendors. Depending on the length of time required to obtain a vendor and complete the contracting process, the study could be underway by June, 2001.

**Follow-up Response**

4/15/02

A Request For Proposal has been sent to four providers. Four responses were received. A decision on the most appropriate provider will be made by 5/1/02.

**Department: Human Resources**

**Report No.: 501 0001 06 Audit of Safety/Loss Control**

**06. 1. Enforcement of Safety Rules**

**Partially Complete**

**Recommendation**

The Safety/Loss Control Officer should provide periodic safety inspection training for all supervisory staff.

**Management's Plan of Action**

The Safety/Loss Control Officer will provide a checklist for all supervisory staff and request immediate monthly safety inspections be conducted. Training will be provided to those individuals conducting the audit on the proper safety inspection techniques.

**Follow-up Response**

4/15/02

The Safety/Loss Control consultant has met with department Directors and provided such a checklist. An offer of training has been made to each Director. Such training will also be part of the training matrix developed for each department. The Safety Consultation and Training Section of the Division of Industrial Relations is also scheduled to provide a 10 hour general industry course to Safety Committee members and interested supervisors. Inspection training is included in that class.

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**06. 5. Enforcement of Safety Rules**

**No Progress**

**Recommendation**

The incident investigation forms for both vehicle accidents and employee injuries should include a brief history of the employee's safety record to ensure appropriate disciplinary actions are given to the employee.

**Management's Plan of Action**

Inclusion of the employee's safety record on an accident report may be a violation of the employee's privacy, as well as a violation of the disciplinary provisions of the contract. The Legal Department, as well as our Labor Relations staff have been asked to provide us with information.

**Follow-up Response**

4/15/02

**COMPLETE** -- Our response remains unchanged.

**AUDITOR'S ASSESSMENT:**

**Audit continues to believe that an employee's safety record can be valuable information for city department management in determining appropriate disciplinary action when necessary. No evidence has been presented to us showing that use of this information would be a violation of an employee's privacy or contract provisions.**

**Department: Information Technologies**

**Report No.: 1999 02 Information Technology Operations**

**B. 4. i Unauthorized Access**

**Partially Complete**

**Recommendation**

IT should work with the Office of City Attorney to develop a more detailed description of what penalties could be involved if a user accesses the City of Las Vegas network without authorization. The current warning statement should be replaced.

**Management's Plan of Action**

IT Operations management believes that we should not take part in setting or recommending penalties for unauthorized use of computer systems. Operations suggests that such determination be made by Human Resources and the City Attorney. The referenced splash screen has been changed and computers updated during the recent inventory. The Office of City Attorney is open to reviewing this request, will evaluate it, and take appropriate action. OPEN.

**Follow-up Response**

4/17/02

John Redlein in the City Attorney's Office has now furnished us with stronger language to use for our log-on statement. The new statement is given below. However there is a problem with implementation in that the log-on statement for each PC is part of the operating system and not in a common file referenced by all. Therefore the new statement will have to be installed with each new/replacement PC and cannot be practically implemented for PCs already in service. Complete implementation could take up to three years. In the meantime, we can have the Information Security and Contingency Administrator (who has approved its content) publish the new language on his website and discuss it when his committee meets. Mike Hougen wants to make sure the new language is approved by the CMO before it is instituted. We will have the new wording approved by the Configuration Control Committee and then the CMO before beginning implementation. The new statement will be worded as follows:

All City of Las Vegas information systems exist solely for the storage, processing, and communication of official information. The City's systems and equipment are subject to monitoring to ensure proper functioning, to protect against unauthorized use, and to verify the presence and performance of security features. Every person using this system will be regarded as having expressly consented to such monitoring. If monitoring reveals evidence of unauthorized use or of criminal activity, a report will be made to the appropriate management or law enforcement authorities. Unauthorized attempts by City employees to access data will result in severe discipline, including termination, and any person unlawfully accessing City systems or attempting to modify the City's electronic records will be prosecuted criminally.

10/29/01

On May 7, 2001, assistance was requested from the City Attorney's Office to help resolve this matter. On May 17, the City Attorney committed to putting someone on it.

**Department: Information Technologies**

**Report No.: 1999 02 Information Technology Operations**

**D. 1. i Shared NT Accounts**

**Partially Complete**

**Recommendation**

IT should work with the users in each area, understand why users are sharing an account, and explain that setting up individual accounts allows IT the ability to determine who is accountable for work performed under an ID.

**Management's Plan of Action**

While IT has consistently performed the concepts outlined in this recommendation, we have not always been successful in consistent compliance. IT will continue to work toward this goal and must enlist Director level support from all departments to complete the goal. The issue will be re-addressed to the Security Committee. OPEN (September, 1999)

**Follow-up Response**

4/22/02

10/29/01

**COMPLETE** -- Shared account useage has been reduced as much as practical. Any further use of shared accounts will be qualified by a secondary security system and restricted application availability.

**AUDITOR'S ASSESSMENT:**

**In discussions with staff, audit believes shared account usage could be reduced even more.**



**Department: Information Technologies**

**Report No.: 1999 02 Information Technology Operations**

**D. 1. ii Shared NT Accounts**

**Partially Complete**

**Recommendation**

IT should immediately disable the current shared accounts and setup accounts for individual users to ensure every user has an ID and password.

**Management's Plan of Action**

Although IT agrees that shared accounts can create accountability and security problems, it would be detrimental to the user community to disable these accounts without providing sensible alternatives. As noted in the previous response, IT will work closely with Directors to determine the reasons for the sharing and will provide viable alternatives. Once these alternatives are in place, the shared accounts can be permanently eliminated without impacting user functionality.

**Follow-up Response**

4/22/02

**COMPLETE** Shared account usage has been reduced as much as practical. Any further use of shared accounts will be qualified by a secondary security system and restricted application availability.

10/29/01

**COMPLETE** -- Shared account usage has been reduced as much as practical. Any further use of shared accounts will be qualified by a secondary security system and restricted application availability.

**AUDITOR'S ASSESSMENT:**

**In discussions with staff, audit believes shared account usage could be reduced even more.**

**Department: Information Technologies**

**Report No.: 1999 02 Information Technology Operations**

**D. 3. Sun Solaris Administration**

**Partially Complete**

**Recommendation**

GIS management should have the current system administrator cross train another system administrator to ensure the City has a backup in case of emergency.

**Management's Plan of Action**

Sun System Administration - GIS management will initiate a dialog with the Programming & Analysis Manager in an attempt to leverage senior technical staff members. The first suggestion will be that the two UNIX system administrators meet monthly to familiarize each other with their systems and to update each other on system changes. These meetings should start no later than June 30, 1999. The second suggestion will be for the GIS system administrator to begin sharing documentation of all critical aspects of system operation with selected personnel from Programming & Analysis. This should begin no later than June 30, 1999 OPEN (July 2000)

**Follow-up Response**

4/22/02

IT is currently piloting workstation-class GIS workstations as a prelude to moving all GIS services to the NT platform. IT estimates the migration to be complete by calendar year end, 2002. Once complete, the Sun Unix systems are planned to be decommissioned, and the current GIS administrator transitioned to the NT environment.

10/11/01

Some of the GIS computer architecture is being migrated to an NT server/workstation platform, providing expanded system administrator resources. There has been some progress on sharing of Unix administration for GIS.

**Department: Information Technologies**

**Report No.: 1999 02 Information Technology Operations**

**F. 3. i Information Technologies' Policies**

**Partially Complete**

**Recommendation**

IT should ensure that all IT Policies follow the official Human Resources Policy M.01 to be implemented citywide.

**Management's Plan of Action**

Information Technologies has established interim policies and procedures requiring the submission to the City Managers, City Attorneys office, City Auditors Office and Human Resources for their input and approval. New policies and procedures are presented at the Team Las Vegas, Directors meetings, Technical User Committee Meetings, Appointive meetings, Administrative Secretary Meetings and in City Team. Global policies are submitted to Human Resources for City Employee Manual and are located on the intranet. Formal policy on Department Policy creation is being revisited for proposal to City Management.

**Follow-up Response**

4/23/02

Doug Dickerson left the City late last year and no one has been assigned to replace him at this time. The AuthorIt document processing system (Optical Systems Corporation, Ltd.) and the workflow system (Governet) had numerous operating bugs when installed and tested and have not been implemented. New policies are presently sent to the City Attorney and to the PIO for review via e-mail as needed.

10/11/01

Doug Dickerson is chairing a project to revise all major IT, Finance, and HR policies and procedures. The updated documents will conform to a standard format using new software tools which include a workflow component for establishing responsibilities for, and tracking of, approvals. The system is scheduled for implementation by August 2001.

**Department: Information Technologies**

**Report No.: 1999 02 Information Technology Operations**

**F. 3. ii Information Technologies' Policies**

**Partially Complete**

**Recommendation**

IT should have a communications program that regularly reminds users of IT policies to ensure citywide compliance.

**Management's Plan of Action**

Information Technologies has established interim policies and procedures requiring the submission to the City Managers, City Attorneys office, City Auditors Office and Human Resources for their input and approval. New policies and procedures are presented at the Team Las Vegas, Directors meetings, Technical User Committee Meetings, Appointive meetings, Administrative Secretary Meetings and in City Team. Global policies are submitted to Human Resources for City Employee Manual and are located on the intranet. Formal policy on Department Policy creation is being revisited for proposal to City Management.

**Follow-up Response**

4/23/02

An e-mail message has been created to send to all exchange users advising them that IT policies and procedures are available for viewing on the Intranet @ Departments>Information Technologies>Policies. This message will be sent initially this April, and every October and April thereafter. The wording is as follows:

The Department of Information Technologies has departmental policies and procedures posted on the Intranet for anyone interested. These documents may be found at Departments>Information Technologies>Policies. Also on the Intranet under Information Technologies is the Monthly State of IT, providing charts and spreadsheets for many of the software development, hardware performance, and operational activities performed for City IT users on a continuing basis. Many of these performance measures can be used to identify trends. Another document included shows every project underway, the staff assigned, and the current status.

10/19/01

IT policies and procedures affecting users are now posted on the Intranet.

**Department: Information Technologies**

**Report No.: 1999 06 Department of Information Technologies - Systems  
Development Methodology**

**1. i Policy Approval and Communication**

**Partially Complete**

**Recommendation**

IT Management should ensure that the SDLC Policy (IT.15) is properly approved according to the City's policy (M.01) "Adding, Revising, and Deleting Policies/Procedures".

**Management's Plan of Action**

IT submitted the SDLC through the appropriate channels about a year ago. The SDLC is officially a city document. IT is working with the Office of Administrative Services and will ensure that the SDLC policy is properly approved.

**Follow-up Response**

4/17/02

The SDLC Policy is a high-level document that is basically accurate as is. We have decided to not include the GIS SDLC as a component due to the GIS version being a procedural-type document not written at the policy level. However, a companion SDLC Procedure is planned due to the present procedural document (SEM – Systems Engineering Methodology) being considered too voluminous and detailed by many. The intention is to keep the current SEM document as a backup for use when very detailed systems development information is in order (for example, how to perform an ABC – Analysis of Costs and Benefits or how to conduct a Structured Walkthrough of source code). The new SDLC procedure might indicate that these activities need to take place but would not offer details as to how to proceed. This will be a significant effort requiring interviews with many staff persons. Work has begun, and the new procedure should be completed by 2002 year-end.

10/11/01

The SDLC is being reformatted and rewritten according to standards being set by the City's Policy and Procedures Committee, chaired by Doug Dickerson. The new version of this policy will be redrafted to include the separate GIS SDLC and then go through an approval process with the City Attorney, H.R., and CMO, utilizing the new system's workflow component. The IT Auditor is a member of this committee. Redrafting and approval should be completed by August, 2001.

**Department: Information Technologies**

**Report No.: 1999 06 Department of Information Technologies - Systems  
Development Methodology**

**1. ii Policy Approval and Communication**

**Partially Complete**

**Recommendation**

IT should formally present the approved SDLC policy to the all City departments and provide continuous updates and training.

**Management's Plan of Action**

IT will indoctrinate stakeholders on a project-by-project basis. This approach is both time and knowledge-retention efficient. This approach provides the "just-in-time" communication and training needed to aid in the adequate understanding and usage of the methodology. Training of this type is more effective when conducted close to the time of process/procedure usage. Most stakeholders do not require detailed knowledge of the SDLC process until they are involved in a project. The Programming and Analysis staff are aware of the SDLC and the SEM component. Most staff have not had the opportunity to use the SEM since its adoption. To aid in communication, the Intranet will be used to communicate the existence of, and changes to policy and procedure. (Closed)

**Follow-up Response**

4/24/02

The current SEM is being reviewed to create an SDLC procedural document that will make the process simpler and easier to understand. The resulting document will be posted on the Intranet for all City departments to view. IT Project Coordinators are already using the general SEM concepts in their project plans and review the pertinent requirements of the SDLC/SEM with the project teams in the course of their coordination efforts.

**Department: Information Technologies**

**Report No.: 1999 06 Department of Information Technologies - Systems  
Development Methodology**

**2. iii Change Control**

**Partially Complete**

**Recommendation**

IT Management should ensure that the purchased change control software package (PVCS) is implemented to prevent unauthorized code modification.

**Management's Plan of Action**

IT sees this as an important issue, second only to Y2K. IT intends completing the implementation of the change control software package by the end of December, 1999.

**Follow-up Response**

4/22/02

PVCS is presently being used by Development Division staff only with Visual Basic, Delphi, and ArcView languages. We have discussed with the vendor, Merant, additions to PVCS to cover Oracle and Unisys applications, but this will probably be 4 to 6 months away. Provided separately is a group of PVCS screen views showing applications presently in PVCS. The next-to-the-last page demonstrates how a typical program can be identified in Microsoft NT Explorer (fireaddr.exe last modified on 3/6/2001 @ 3:14 PM) and then be compared with the 'Properties' function in PVCS to establish that the last-modified date and time are in agreement.

10/29/01

COMPLETE -- PVCS was installed on all Programming staff PCs in October 2000. Staff have been instructed by the Division Manager to use this tool in a library environment for check-in and check-out of source code. Promoting source to production is being planned to go through Projects Division analysts for approval, beginning in December 2001.

**Department: Information Technologies**

**Report No.: 1999 06 Department of Information Technologies - Systems  
Development Methodology**

**8. Post Implementation Review**

**Partially Complete**

**Recommendation**

IT should select at least one major system for post implementation review annually to improve current systems and enhance the systems development process.

**Management's Plan of Action**

The adopted SEM does specify post-implementation reviews. Since the adoption of the SEM, only one major software implementation has taken place. Therefore, there has not yet been opportunity for a post-implementation review, given the dedication of resources to the Y2K remediation effort.

**Follow-up Response**

4/23/02

Provided separately is a Project Plan for the Sewer ACH Payment Project listing "Post Implementation Support" as the last step in the process, occurring after the "Acceptance" phase, which includes sign-off. This post implementation review meeting allows IT and the customer to discuss how the new system is functioning and to define where problems may still exist. Also provided separately is a Final Project Acceptance sign-off sheet for this project as well as a Project Plan template showing acceptance and post implementation support as final phases for all projects.

10/29/01

**COMPLETE** -- Post-implementation review is part of the project plans on all projects. It is part of a standard, 45-day "Customer Care" phase.

**AUDITOR'S ASSESSMENT:**

IT has not performed any documented post-implementation reviews.



**Department: Information Technologies**

**Report No.: 1999 06 Department of Information Technologies - Systems  
Development Methodology**

**9. i GIS SDLC Policy**

**Partially Complete**

**Recommendation**

IT Management should incorporate the GIS SDLC policy as part of the City's SDLC policy.

**Management's Plan of Action**

Agreed. It should be noted that the adopted SEM does accommodate the "Spiral" approach described above, as well as the traditional "Waterfall" method.

**Follow-up Response**

4/17/02

After attempting to consolidate the two documents, it was discovered that the GIS SDLC is not really a policy, written at a higher level, but more of a procedural document describing how to accomplish specific development functions. A new SDLC Procedure is being planned to encompass all department development activities (including GIS SDLC) and written to follow the stages outlined in the current adopted procedure document (SEM – Systems Engineering Methodology), without so much volume and detail. The SEM will complement the new SDLC Procedure by providing detailed information for performing certain activities when needed.

10/11/01

This will be done by August 2001.

**Department: Information Technologies**

**Report No.: 2000 01 Citywide Payroll Process**

**E. 2. iii Access Control**

**Partially Complete**

**Recommendation**

The System Administrator should be notified by pager, email, or other method if a user fails to gain access to the system after a certain number of attempts. In addition, the system administrator should review system access logs daily.

**Management's Plan of Action**

IT agrees that it is important to detect and take action, when appropriate, on invalid access attempts. Since the system administrators are not on duty 24 by 7, it would not be feasible to notify them of every failed access attempt. If the notification was via email, a failed access attempt that occurred after hours would not be discovered until the next work day. If the attempt is a break-in, the delay would be unacceptable. Pager notification would be very expensive, since the City has a number of different platforms and each has an administrator. The solution would require several system administrators be given pagers and subsequently be paid on call pay 24 by 7. Since most of the failed access attempts are user error or expired passwords, this solution would not be cost effective. As an alternative, IT is trying to get the current Computer Operators job description reclassified to allow them to accomplish some of these functions. The Computer Operators, who are 24 by 7, would be tasked with reviewing logs and doing an initial analysis for any failed access attempts. If it is felt that the attempt requires further actions, the operator will contact the appropriate system administrator. If this reclassification is not approved then IT will look into other solutions.

**Follow-up Response**

4/22/02

Site Scope and Shadow Security Scanner have been identified and installed for system monitoring and staff notification functions. IT is evaluating a third package that would allow baseline server and router configuration delta reporting. Physical system log monitoring is still done manually. Automated tools for event identification and reporting based on system logs are targeted for evaluation in Fiscal 2003 pending available funds.

10/11/01

Computer Operators have been reclassified to Computer Systems Technicians, whose new role will include the monitoring of system logs. Full implementation will result after appropriate systems training is complete in September 2001.

**Department: Information Technologies**

**Report No.: 2000 01 Citywide Payroll Process**

**E. 6. v Root Access**

**Partially Complete**

**Recommendation**

IT should regularly run security tools to ensure the integrity of the operating system.

**Management's Plan of Action**

IT will research tools for checking security and implement viable solutions. (Target Completion Date: June, 2000)

**Follow-up Response**

4/22/02

Automated tools for event identification and reporting based on system logs are targeted for evaluation in Fiscal 2003 pending available funds.

10/11/01

The Information Security and Contingency Administrator has requested funding for tools to check systems security, but funding has not been gained for this project.

---

**E. 9. Encryption**

**Partially Complete**

**Recommendation**

IT should encrypt the check and NACHA files.

**Management's Plan of Action**

When we switch to bank origination, encryption will be provided as part of the bank provided transmission software. (Target Completion Date: July, 2000)

**Follow-up Response**

4/22/02

The directory into which these files are created has been restricted to specific Finance personnel. IT is evaluating the possibility of deleting the files within the check printing and NACHA formatting job streams.

10/11/01

The transmittal process is now in the hands of the Treasurer. The Treasury staff now transmits electronically the payroll and NACHA files.

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**A. 1. Master Plan**

**Partially Complete**

**Recommendation**

Leisure Services management should review, monitor, and as necessary update the Master Plan to ensure a focused direction for the City's recreation facilities and programs.

**Management's Plan of Action**

Leisure Services Director and Division Managers will periodically review, monitor, and update the Master Plan.

**Follow-up Response**

5/10/02

The recently completed Parks Master Plan and Community Needs Assessment play a major role in assisting LS to update its Master Plan. Both documents provide empirical & statistical data that will assist LS with its review & update. LS is pursuing accreditation through CAPRA (Commission for Accreditation of Park and Recreation Agencies), and having a Master Plan is one of the requirements. LS will continue to work to review, monitor and update its master plan in pursuit of department accreditation. Projected completion date: 12/02

10/12/01

Ongoing Project.

---

**A. 2. Accreditation**

**Partially Complete**

**Recommendation**

Leisure Services management should work toward accreditation from NRPA to set a direction and standard for future recreational facilities and programs in Las Vegas.

**Management's Plan of Action**

Leisure Services has acquired NRPA accreditation material and will explore the criteria and assess our ability to attain this accreditation.

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**Follow-up Response**

5/10/02

Leisure Services continues to pursue NRPA accreditation and has completed the following steps in that effort: Identify work process - completed Identify Team Leader & Members - completed Map current process and collection of information - 11/01 Pilot Process - 3/02.

---

**C. 1. i Fees**

**Partially Complete**

**Recommendation**

Leisure Services should develop a process in which all fees are reviewed at least annually and the proposed changes are reviewed by the Parks and Recreation Advisory Committee and approved by the City Council as stipulated in Municipal Code.

**Management's Plan of Action**

Leisure Services Management will develop a process to review fee charges annually and submit for approval. The first proposal will be submitted by March 2000. Leisure Services Management also recognizes the need to strengthen its policies regarding fee establishment and cost recovery. To that end, we have established the following measure:

- 1) Performance Measurement Guidelines.
- 2) Increased dialogue and interaction with both the Finance/Budget Manager and Analyst.
- 3) Education of front-line staff on budget and revenue management.

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**Follow-up Response**

5/10/02

LS has created an internal committee to develop policy that will outline a process by which all fees go through an annual review. The policy will address the establishment of fees; how, why, and when fees will be increased; and cost recovery.

10/09/01

This item is still being considered as the Manager responsible for this segment is retiring shortly. The incoming Manager or acting Manager will be assigned the project for action.

---

**C. 1. ii Fees**

**Partially Complete**

**Recommendation**

Leisure Services should determine recovery rates for all recreational programs and bring all programs as close to and over 100% if possible to subsidize programs where 100% recovery is not possible.

**Management's Plan of Action**

Leisure Services Management will evaluate all programmatic delivery rates and establish a plan to complete this recommendation by June 2000.

**Follow-up Response**

5/10/02

LS has created an internal committee to develop policy that will outline a process by which all fees go through an annual review. The policy will address the establishment of fees; how, why, and when fees will be increased; and cost recovery.

10/09/01

This item is being considered as the current Manager is retiring shortly. The new Manager or acting Manager will be assigned this project.

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**C. 1. iii Fees**

**Partially Complete**

**Recommendation**

Leisure Services / YMCA should consider proposing an increase in the fee at the Northwest Leisure Center pool to \$3 per person for residents to equal the fee charged by another municipality for a similar facility. Non-residents should pay more (\$4) since they are not building the tax base. They should eliminate discounts for children in order to simplify pricing considering everybody is getting the same recreational experience.

**Management's Plan of Action**

Recreation Division Management will consider this recommendation when item #i. found in this section, has been accomplished. However, according to the terms of the YMCA agreement, fees for that facility are subject to negotiations. Leisure Services Management recommends that children's discount rates remain in effect.

**Follow-up Response**

5/10/02

LS has created an internal committee to develop policy that will outline a process by which all fees go through an annual review. The policy will address the establishment of fees; how, why, and when fees will be increased; and cost recovery.

10/09/01

Item C1 iii is included in C1 I and is still being researched. The Division Manager responsible for this project is retiring shortly. The Acting Manager will be assigned this item.

---

**C. 1. v Fees**

**Partially Complete**

**Recommendation**

The discount given for aquatics passes should decrease to be more in line with discounts given from other merchants which is in the 10-20% range.

**Management's Plan of Action**

Recommendation will be considered when item #i. found in this section, has been accomplished.

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**Follow-up Response**

5/12/02

This item will be addressed when the Department fees and charges policies have been established.

10/09/01

Aquatic pass discounts have been adjusted according to audit recommendation.

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**C. 3. Grants**

**Partially Complete**

**Recommendation**

Leisure Services should have a coordinated effort related to the writing, acceptance, and monitoring of grants.

**Management's Plan of Action**

All grant activity of the department has been centralized to one location under the auspices of one individual who both writes and monitors the grant process. The department views grants as an additional source of needed program revenue and has been actively seeking grants to fill our program needs.

**Follow-up Response**

5/10/02

**COMPLETE** Due to cost initiatives, the Administrative Assistant position was eliminated from the department budget. In addition, the department underwent a reorganization resulting in reprioritizing staff responsibilities. Therefore, a staff person, in the Administration Division under the management of Roy Nelson, will coordinate the writing, monitoring and reporting of all department grants.

10/09/01

The current vacancy freeze has prevented us from hiring our grant writer.

**AUDITOR'S ASSESSMENT:**

**This is not "Complete" because management has not provided documentation.**



**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**D. 1. ii Registration**

**Partially Complete**

**Recommendation**

Leisure Services should make participants aware that the course catalog is available via the internet.

**Management's Plan of Action**

Leisure Services, divisions, and the Marketing Unit will add the information regarding internet access availability on flyers, posters, brochures, and other forms of communication disseminated to customers immediately.

**Follow-up Response**

5/10/02

**COMPLETE** With the installation of CLASS, beginning with the Fall session of programs and activities, the course catalog will be available online. With assistance from the Community Resources Unit, Recreation/Cultural centers and facilities will ensure participants are aware of the online availability of the course catalog through posters, flyers, and word of mouth.

10/12/01

The installation of CLASS will greatly assist in making citizens aware of the course catalog.

**AUDITOR'S ASSESSMENT:**

**This is not "Complete" because management has not provided documentation.**

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**D. 1. iii Registration**

**Partially Complete**

**Recommendation**

Leisure Services should note the amount of time it takes to download the catalog via the internet.

**Management's Plan of Action**

Leisure Services Administration Unit will work with IT to expedite the amount of time it takes to download the catalog via the internet.

**Follow-up Response**

5/10/02

**COMPLETE** The issue of the time it takes to download the catalog via the internet has been noted and brought to the attention of IT. IT action.

10/12/01

With the installation of the CLASS recreation software, Leisure Services will be able to provide the brochure and other amenities such as the availability and layout of recreation facilities for the customers to review. Ongoing project.

**AUDITOR'S ASSESSMENT:**

**This is not "Complete" because management has not provided documentation.**

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**D. 3. i Resident Preference**

**Partially Complete**

**Recommendation**

Leisure Services should evaluate implementing a program in which City residents can register between one and two weeks in advance of non-residents since this is customary in other municipalities.

**Management's Plan of Action**

Leisure Services Management will analyze the impact to customers and staff regarding City residents preferential treatment for early registration, reduced fees and other benefits. Analysis to be completed by April 2000.

**Follow-up Response**

5/10/02

LS has created an internal committee to develop policy that will outline a process by which all fees go through an annual review. The policy will address the establishment of fees; how, why, and when fees will be increased; and cost recovery.

10/09/01

The Divisions Manager responsible for this section is retiring shortly. The incoming Manager or acting Manager will be assigned this project.

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**D. 3. ii Resident Preference**

**Partially Complete**

**Recommendation**

Leisure Services should consider setting a standard fee for all programs and giving residents a discount since they pay property taxes which support City programs.

**Management's Plan of Action**

Leisure Services Management will analyze the impact to customers and staff regarding City residents preferential treatment for early registration, reduced fees and other benefits. Analysis to be completed by April 2000.

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**Follow-up Response**

5/10/02

LS has created an internal committee to develop policy that will outline a process by which all fees go through an annual review. The policy will address the establishment of fees; how, why, and when fees will be increased; and cost recovery.

10/09/01

The current Manager responsible for this section is retiring shortly and the new Manager or acting Manager will assume this project.

---

**E. 1. iii Cash Control**

**Partially Complete**

**Recommendation**

Leisure Services should have ongoing mandatory annual cash handling classes for its cash handling employees.

**Management's Plan of Action**

Leisure Services Management is working to develop a departmental policy on cash handling procedures. In addition, management will coordinate with the Finance & Accounting Department and the City Treasurer's office to coordinate ongoing cash handling training.

**Follow-up Response**

5/10/02

**COMPLETE** LS, in coordination with the City Treasurer, has developed a cash handling policy and periodic training is being conducted.

10/12/01

**AUDITOR'S ASSESSMENT:**

**This is not "Complete" because management has not provided documentation.**

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**E. 2. Budget**

**Partially Complete**

**Recommendation**

Leisure Services should work with Finance and evaluate integrating the Leisure Services' accounting group within Finance.

**Management's Plan of Action**

Management stands firm that the accounting unit must remain in the department of Leisure Services. Having an in-house accounting work unit is essential to exercising control and accurately managing a budget and revenue plan in excess of 18M. Management will coordinate closely with Finance to evaluate day to day operations in order to eliminate duplication of efforts. Management will also coordinate with the Information Technologies Department to explore the possibility of a direct link into the Finance Oracle database. This will serve to enable the department to maintain better control of fiscal matters and eliminate the need for Finance personnel to enter data on behalf of Leisure Services Department.

**Follow-up Response**

5/10/02

**NO LONGER APPLICABLE** LS has coordinated with the Director of Finance and come to an agreement on this recommendation. No further action required.

**AUDITOR'S ASSESSMENT:**

**This is not "No Longer Applicable" because management has not provided documentation.**

**E. 4. Refunds**

**Partially Complete**

**Recommendation**

Leisure Services management should develop a written departmental refund policy and process. It should be included on the Leisure Services' brochures and registration forms so that participants understand what needs to be done to qualify for a refund, when it can be expected, and how much the refund will be.

**Management's Plan of Action**

Leisure Services Management will comply with the recommendation.

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**Follow-up Response**

5/10/02

**COMPLETE** LS has developed a refund policy and distributed to all personnel who work with the CLASS system.

**AUDITOR'S ASSESSMENT:**

**This is not "Complete" because management has not provided documentation.**

---

**E. 5. Fee Waivers**

**Partially Complete**

**Recommendation**

Leisure Services management should develop a memo or policy stating that the City does not waive fees. This will give staff support and should ensure the City is collecting revenue for the services provided to external entities.

**Management's Plan of Action**

Leisure Services Management will solicit support of City Manager's Office, Mayor and Council in order to comply with this recommendation.

**Follow-up Response**

5/10/02

**COMPLETE** The policy of LS is to refer all requests for fee waivers to the Deputy City Manager's office for final dispensation.

10/24/01

Leisure Services continues to receive requests for fee waivers. However, through close coordination with the CMO, a decline in the amount of fee waiver requests is being realized.

**AUDITOR'S ASSESSMENT:**

**This is not "Complete" because management has not provided documentation.**

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**F. 2. i Pool Rental**

**No Progress**

**Recommendation**

Aquatics should increase the fee for private pool rental from \$80 to \$200 to ensure the City residents are not subsidizing private functions.

**Management's Plan of Action**

Recommendation for a fee increase will be included in the Recreation Division's annual fee increase review process.

**Follow-up Response**

5/10/02

Fee increases are still under review by the Department.

10/09/01

Fee increases are still under review.

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**F. 3. i Employee Health**

**Partially Complete**

**Recommendation**

Aquatics should have mandatory sun protection policies. These policies should include:

- a) Appropriate education on the dangers of sun exposure;
- b) Appropriate shelter at lifeguard stations;
- c) Mandatory requirements for the use of wide brim hats;
- d) Tightly-woven 50 (or more) rated clothing;
- e) The mandatory provision of minimum SPF 30 sunscreen and adequate natural or artificial shade for all personnel on duty;
- f) Yearly skin cancer checks and eye exams for all employees;
- g) Mandatory use of quality 100% UV protection sunglasses with side protection which does not obscure peripheral vision; and
- h) Supporting their employees in obtaining qualified physician evaluation of any suspicious skin lesions, treatment of such lesions, and employment modification as necessary.

**Department: Leisure Services**

**Report No.: 1999 09 Department of Leisure Services - Recreation Division**

**Management's Plan of Action**

Recreation Division Management will explore other aquatic agency's policies and procedures regarding the listed recommendations. The information will be collected and forwarded to HR and the Risk Manager for review, comments and approval. This process will be completed by May 2000 prior to the opening of the outdoor seasonal pools.

**Follow-up Response**

5/10/02

The audit item was discussed the remaining incomplete items with Human Resources again and they have agreed to work through this recommendation directly with the auditor.

10/22/01

COMPLETE -- The recommendation was forwarded to the Risk Manager and the yearly scan cancer check and eye exams are cost prohibitive. Standards regarding sun exposure are included in the lifeguard certification program and staff training.

**Report No.: 1999 10 Department of Leisure Services - Recreations Division  
- Community Schools**

**A. 1. iv Vision of Community Schools**

**Partially Complete**

**Recommendation**

The Community School Boards, Community Schools management, and City management should work together in creating at least a five year detailed business plan for the Community Schools taking into consideration the programming, facility, and financial needs of all of the Community Schools and the areas in which they operate.

**Management's Plan of Action**

Recreation Division Management will coordinate with the Community Schools to create a five year business plan to be completed by March 2000.



**Department: Leisure Services**

**Report No.: 1999 10 Department of Leisure Services - Recreations Division  
- Community Schools**

**Follow-up Response**

5/10/02

The Community Schools underwent a transition plan, which resulted in the Community School Boards being converted from having decision-making authority to advisory authority. The department is now collecting all the fees & costs associated with the programs. A five-year plan will be developed to reflect both facilities and programs and inserted into the Recreation Division section of the Department's overall Business Plan by the end of summer, 2002.

10/17/01

The Department of Leisure Services will include the Community Schools in the Department Master Plan and five year Business Plan instead of creating individual documents for this work unit.

---

**B. 1. i Community School Administration Offices**

**Partially Complete**

**Recommendation**

The Community Schools should work together to create a long-term plan for improvements and expansion of these facilities, as well as for all of the Community School administration offices.

**Management's Plan of Action**

Recreation Division Management will add the need for facility expansion and improvements to the Community Schools' Five Year Business Plan.

**Follow-up Response**

5/10/02

The Community Schools underwent a transition plan, which resulted in the Community School Boards being converted from having decision-making authority to advisory authority. The department is now collecting all the fees & costs associated with the programs. A five-year plan will be developed to reflect both facilities and programs and inserted into the Recreation Division section of the Department's overall Business Plan by the end of summer, 2002.

10/17/01

Facility improvements and building expansion plans for the existing and future Community Schools will be considered in the Department of Leisure Services overall Capitol Improvement Plan.

**Department: Leisure Services**

**Report No.: 1999 10 Department of Leisure Services - Recreations Division  
- Community Schools**

**B. 2. i Track Break Program and Buildings**

**Partially Complete**

**Recommendation**

The Community School Boards, Community Schools management, and City management should assess the need for Track Break programs and buildings and create a long-term plan for expansion of the program in the City.

**Management's Plan of Action**

Recreation Division Management will include this recommendation into the Community Schools' Five Year Business plan that is to be developed. Additionally, staff will present a Track Break building proposal for the City's 2000/2001 budget. A new Track Break building will be proposed for the City owned property located next to Oran Gragson Elementary School using the same building plans as the Ann-Cimarron project.

**Follow-up Response**

5/19/02

This recommendation will be addressed in the five year Community School Business Plan insert.

10/17/01

Under direction of City Council, the City will enter into an agreement with each Community School to assume more operational and fiscal control effective August 20, 2001. Program expansion will become the responsibility of the Department of Leisure Services Community School Boards. The Boards are encouraged to fund raise and participate in program enhancement.

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**C. 3. City Network and Internet Access By Community Schools**

**Partially Complete**

**Recommendation**

City management should provide the Community Schools with access to the City intranet and the internet.

**Management's Plan of Action**

Recreation Division Management strongly agrees. Intranet and Internet requests regarding Community Schools were forwarded to IT in March of 1999. Additional requests will be forwarded again. Management will place the cost associated with requests in the 2000/2001 budget.

**Department: Leisure Services**

**Report No.: 1999 10 Department of Leisure Services - Recreations Division  
- Community Schools**

**Follow-up Response**

5/10/02

Approximately 50% of all the Community Schools are now connected to the City's software system. The completion date for the entire conversion is scheduled for December 2002.

10/17/01

Connectivity issues still exist at some Community Schools. Recreation Division management continues to work with IT. 25% complete.

**Report No.: 2400 0001 01 Special Report: Agreement Between Las Vegas  
Sportspark Ltd. and The City of Las Vegas**

**02. 1. City of Las Vegas**

**Partially Complete**

**Recommendation**

The Director of Leisure Services or designee should begin documented formal periodic inspections of Sportspark.

**Follow-up Response**

4/24/02

The Department of Leisure Services met with and documented its meetings with Sportspark officials on (5) occasions. In these meetings, the Sportspark provided LS with a schedule of upcoming uses, activities and event, and copies of sub-lease agreements. In the past, our meetings with Sportspark have been more on an as needed basis. We will now meet more frequently and require Sportspark to submit the necessary (monthly, quarterly, bi-annual, and annual) reports/documents.

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**02. 2. City of Las Vegas**

**Partially Complete**

**Recommendation**

The City and Sportspark should together more clearly define their roles and responsibilities as they relate to the promotion of Sportspark.

**Department: Leisure Services**

**Report No.: 2400 0001 01 Special Report: Agreement Between Las Vegas  
Sportspark Ltd. and The City of Las Vegas**

**Follow-up Response**

4/24/02

The Department of Leisure Services and Sportspark representatives have met to clearly delineate the role of LS in assisting Sportspark in its promotion efforts. LS has agreed to:

- publish Sportspark events & activities in its brochures and pamphlets
- brainstorm ideas in order to find the most efficient way to promote an event/activity
- introduce Sportspark Marketing personnel to LS radio/television contacts to allow them to develop relationships with media personnel

LS will ensure its Marketing Unit does a quarterly follows up with Sportspark officials to assist in their marketing efforts.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**A. 2. Training and Reference Manual**

**Partially Complete**

**Recommendation**

A training and reference manual for cashiers should be created and updated as needed to improve training and ensure consistency of operations between clerks.

**Management's Plan of Action**

The Court is in agreement. The process to create such a manual has been discussed and efforts have begun. Presently the divisions involved are being reorganized and management is gathering information on current procedures to provide a basis for creation of a standard operating procedure manual for the counter operations. We intend to have a training and reference manual for cashiers completed by June 2001.

**Follow-up Response**

4/26/02

The Customer Assistant Division training is unique in that a new employee is required to create his/her own training manual during the training process. A new employee is assigned a personal trainer. The trainer reviews the training manual to confirm that the documented procedures are accurate. This process has proven to be the most efficient method for training clerks as they have so many different procedures for different type of cases. The existing training method allows clerks to document the procedures, thus reinforcing memorization. In addition, clerks can organize their manual in the best manner that suits them for retrieving information timely and thus, servicing customers speedily. As a result, management has decided to maintain it's current training process, which allows clerks to create, organize and retain their own training and reference manual. At some point when all new developments are completed, the department would like to produce a formal manual.

09/27/01

The training manual is in progress and is expected to be completed and distributed to staff by August 17, 2001. The court Cash Handling Policy and Procedure manual was published and distributed August 2, 2000.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**A. 3. Audit Pack Retention Policy**

**Partially Complete**

**Recommendation**

Prior to reducing the number of years audit packs are retained, Court management should review the applicable laws and discuss this record retention issue with the City Clerk's Office and the Finance Department.

**Management's Plan of Action**

The Court will discuss this issue with the City Clerk's Office and the Finance Department and review State and Federal guidelines on this issue and make sure we are in compliance with State and Federal laws applicable to courts. As the audit packs are used by internal and external auditors when performing their audits, we will also seek their input on this issue. Whereas the State Supreme Court and AOC are getting more involved in improving the accountability of the courts, we will suggest that they provide some guidelines. The Court will also look at the possibility of putting the audit packs on microfiche and/or being able to save and retrieve information from the computer system.

**Follow-up Response**

4/26/02

Justice Court requires their records be kept until after a formal audit is completed. The State statutes require that court records be retained for a minimum of 5 years. The Accounting Unit has adopted the policy of destroying audit packs at five years. Further research is required to determine if the Court should adopt the Local Courts Records Retention Manual for the records of Municipal Court. (Refer to attached memo for concerns regarding record retention.)

09/27/01

After reviewing information from the State Supreme Court, Nevada Revised Statutes and City Retention Policy we feel this subject requires further analysis and input from the City's retention committee so as to be on solid footing on what the Court's retention policy will be for non-judicial or administrative documents.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**B. 2. ii Transaction Receipts**

**Partially Complete**

**Recommendation**

Consecutive receipt numbers should be automatically generated by the System, retained within the System for reference, and printed on the receipts.

**Management's Plan of Action**

Preliminary discussions with the IT Department regarding changing the current TR to a receipt similar to the SAT used by ASSED have already occurred. The IT Department has requested that no changes be made to the legacy system until Y2K remediation and testing have been completed. Estimated completion of this remediation is December 1999 due to outstanding bugs from Y2K conversion.

**Follow-up Response**

4/26/02

Same response as 9/27/01. The system does not have the capability to retain the consecutive receipt numbers. An IT Request was submitted and preliminary stages for creating a revenue module to the existing Legacy system will begin in the Fall of 2002. The estimated completion date is dependant upon availability of IT resources.

09/27/01

See Previous. The system will now generate consecutive receipt numbers and print the numbers on the receipts, but we still do not have the capability to retain the numbers in the system. Completion pending the addition of a revenue module to the existing Legacy system, or the acquisition of a new case management system.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**B. 2. iii Transaction Receipts**

**No Progress**

**Recommendation**

The receipts should include evidence of the method of payment, amount paid, and change due.

**Management's Plan of Action**

This capability is to be included in the City's new cash receipting system now under development. The cash receipting function will be one of the first items to be completed on the new Court computer system. Time and resources are being provided to complete it within the next few months. Until then, the clerks will write this information on the receipts.

**Follow-up Response**

4/26/02

The Court's Legacy system still does not have the capability to track the method of payment, amounts paid and change due. However, the Court has implemented procedures for the clerks to manually record the information on the receipt. The new revenue module to the existing Legacy system will document the method of payment, amount paid and change due on the receipts. Preliminary stages for creating a revenue module to the existing Legacy system will begin in the Fall of 2002. The estimated completion date is dependant upon availability of IT resources.

09/27/01

Completion pending the addition of a revenue module to the existing Legacy system, or the acquisition of a new case management system.

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**B. 3. i Correspondence With Defendants**

**Partially Complete**

**Recommendation**

In order to increase the effectiveness of the postcard mailings and avoid future waste in postage costs, management of the Court should work with the Information Technologies Department in making the required programming changes to ensure that the addresses being used for mailing are the most current in the System.

**Management's Plan of Action**

Management of the Court will work with IT in making these programming changes. We estimate that the required programming changes will be made in June 2001.



**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**Follow-up Response**

4/26/02

Clerks have been instructed to have defendants complete a Defendant Card when they appear at CAD's front counter. The information requested on the card is the history number, defendant's name, current address, city, state, zip, home and business phone numbers and employer. The cards are forwarded to an outside vendor who completes a database file and forward it to IT. IT downloads the information into the Legacy system. An IT request (HEAT #37419) has been submitted to use the latest good address on postcard mailings. In the event that a postcard is returned, the address is flagged in Legacy as a bad address. Thus, no additional mailing is forwarded to the defendant until a new address is obtained. Management believes this is the first step in the process of obtaining the most recent address for defendants.

09/27/01

No change to response of 5/12/2000.

Update 5/12/2000: This will require an entirely new screen program, and then the staff to input the data. It is on the list of approved programming, however there is presently no start or end date defined.

---

**B. 3. ii Correspondence With Defendants**

**No Progress**

**Recommendation**

Management of the Court should work with the Information Technologies Department in developing the capability within the Court System for recording the history of all correspondence with defendants. The history of all correspondence should be retained and accessible for review on a consolidated basis via a screen or report. Changes to the correspondence history should be restricted. Implementation of this capability within the Court System will improve the efficiency of court personnel working on individual cases and customer service.

**Management's Plan of Action**

Most, if not all, of the above recommendations will be implemented in the new computer system(s) in working towards a Court-wide paperless environment.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**Follow-up Response**

4/26/02

There are no changes to the previous response.

09/27/01

No change to response of 5/12/2000.

Update 5/12/2000: A mail system is on the list of approved programming application development. There is no start or end date defined.

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**B. 5. Processing of Bail Refunds**

**No Progress**

**Recommendation**

Court management should review the procedures currently being performed to process bail refunds and consider ways to streamline this process.

**Management's Plan of Action**

Management is currently looking at ways to further streamline this process and thereby meet the established deadlines of the Court.

**Follow-up Response**

4/26/02

It appear that there were discussions recommending courtroom clerks inherit some of the tasks for processing refunds; however, nothing materialized. Due to the recent turnover in the department, management will have to revisit this recommendation.

09/27/01

We are currently pursuing the possibility of the courtroom clerks in each judicial department accomplishing some tasks in the courtroom which might expedite this process.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**B. 6. Outstanding Bail Refund Checks**

**Partially Complete**

**Recommendation**

A notice should be sent to individuals with Court checks outstanding more than six months. This notice should alert individuals that a check was sent to them and has not yet been cashed. They should be instructed to notify the City if it has been lost and a replacement check will be issued. This process should be coordinated with the Finance Department as this department completes the bank reconciliations and tracks the outstanding checks. This earlier correspondence with individuals with outstanding checks should help in reducing the amount of unclaimed monies remitted to the State every year.

**Management's Plan of Action**

The Court investigates checks which are termed undeliverable and attempts to contact the person to which the check is written. Presently, we do not have enough staff to investigate all outstanding checks which have not been cashed. However, the Court will look at this process and try to find ways to better comply with the standards established by the AOC of Nevada. We will work with the Finance Department and the IT Department to determine if a report exists or can be developed using the bank statements which lists all bail refund checks outstanding over 180 days and then proceed to contact these individuals.

**Follow-up Response**

4/26/02

Effective April 3, 2002, procedures have been implemented to investigate checks outstanding for more than six months. On or before the 15th of each month, a representative from the City's Finance Department will forward an electronic listing of all outstanding checks to Municipal Court's Accounting Unit. The Accounting Unit will forward a letter to the payee's last known address advising them that the check has not been cashed. This procedure will be performed on a monthly basis.

09/27/01

Due to a number of other priority assignments, this recommendation has not yet been pursued, but will be by August 17, 2001.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**C. 1. i Physical Security of Court**

**Partially Complete**

**Recommendation**

While all visitors must pass through a metal detector at the ASED 7th Street facility and the House Arrest office, improved physical barriers should be created to reduce the risk of loss at these locations. Court management should consider developing procedures in which cash from House Arrest customers could be collected by traffic school cashiers rather than by officers in the House Arrest office thereby eliminating the need for the cash box. Court management should also consider getting the House Arrest Unit on-line to the Court System.

**Management's Plan of Action**

Due to lack of physical space, it is not feasible to install a barrier at ASED 7th Street. The situation will be remedied when the Court moves to the Regional Justice Center facility. In the short term, we will look at ways to make the areas where cash is stored more inaccessible and to automate the House Arrest fee payment process so payments to the unit can be rung at the regular revenue stations rather than in the House Arrest office.

**Follow-up Response**

4/26/02

ASED: Current set-up at the ASED 7th Street facility allows defendants attending various classes to pass through an open area where the cash register drawer is located. Management is currently looking into installing a security buzzard at the door between the cashier area and classrooms. A security buzzard at the defined location will restrict access to the cashier area after defendants have pass through. In addition, to further restrict access to cash receipts, management will consult the City's Carpenters about the possibility of installing a partition around the cashier station. In the interim, the following security controls are in place to minimize exposure to cash receipts:

- a) All entrances to the ASED 7th Street facility are secured and restricted to authorize personnel.
- b) All defendants must pass through a metal detector prior to entering the area.
- c) ASED's Counselors and Security Officer monitor defendants during their attendance.
- d) At the conclusion of class, defendants are required to exit the building through a door other than the one they entered.
- e) ASED has adopted a cash reduction policy to minimize exposure to potential losses. Management will continue to monitor the area and implement controls deemed necessary to reduce the risk of exposure to cash receipts.

**House Arrest:** Effective February 6, 2001, the House Arrest office was made off-limits to program clients. A sign has been posted on the door indicating "Staff Only" and the door is kept locked at all times. Thus, eliminating the presence of clients in an area where money is collected and stored. Effective May 1, 2002, the House Arrest Unit will be on line with the City's receipting system (ATLAS).

09/27/01

Our goal is to bring the House Arrest Unit on line, but is pending the addition of a revenue module to the existing Legacy system or the acquisition of the new case management system.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**C. 1. ii Physical Security of Court**

**No Progress**

**Recommendation**

Fireproof safes should be purchased by the Court to further reduce risk of loss of cash stored in safes overnight in case of fire and to comply with standards established by the Administrative Office of the Courts of the State of Nevada.

**Management's Plan of Action**

With the building of the Regional Justice Center underway, the Court has held off on purchasing fireproof safes due to the required cost. We believe the present safes provide adequate security, but we plan on purchasing fireproof safes for the new facility.

**Follow-up Response**

4/26/02

No change to the response of 5/12/2000. Fireproof safes will be purchased when the Court moves to the Regional Justice Center.

09/27/01

No change to response of 5/12/2000.

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**C. 2. i User Passwords For Court System**

**Partially Complete**

**Recommendation**

To ensure proper security surrounding the Court System and the information therein, Court personnel should be required to periodically change their personal access passwords. If possible, System users should automatically be prompted by the System at specified intervals to change their passwords.

**Management's Plan of Action**

This requirement was previously established by the IT Department. Notices were periodically sent to court staff indicating that they must change their password by a certain date. The Court will work with IT to implement this practice again.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**Follow-up Response**

4/26/02

Additional programming is required to have the system automatically prompt users to change their password. An IT Request (HEAT #37415) was submitted for this program change. The following manual procedures have been implemented to comply with this recommendation. On a quarterly basis, the Accounting Unit will notify the divisions, via e-mail, to change their password. The Court Staff will use the "CHPAS" command code in Legacy to change their passwords. Each employee will sign and date a departmental acknowledgement form attesting that their password was changed. The acknowledgement form will be forwarded to the Accounting Unit and retained for five years.

09/27/01

No change to previous response; still waiting programming.

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**C. 2. iii User Passwords For Court System**

**No Progress**

**Recommendation**

System access logs should be created and reviewed periodically by management for unusual access attempts.

**Management's Plan of Action**

In designing the new Court system, system access logs will be requested and procedures implemented for their review.

**Follow-up Response**

4/26/02

Completion of this recommendation is pending upon the reengineering of the existing Legacy system. Preliminary stages for reengineering the system will begin in the Fall of 2002. The estimated completion date is dependent upon the availability of IT resources.

09/27/01

Completion pending the addition of a revenue module to the existing Legacy system, or the acquisition of the new case management system.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**C. 3. i Court System Record Change Access and Monitoring** **Partially Complete**

**Recommendation**

Court management should take measures to closely monitor the activity of court clerks with supervisory access to the Court System.

**Management's Plan of Action**

The Court System does not currently provide adequate information to identify inappropriate activities by court clerks with supervisory access and the Court does not have sufficient staff to monitor quality control in the system. The reports the system does generate indicate case errors rather than inappropriate updates. There are no internal audit procedures for inappropriate case activity. In those instances where Court management has identified wrong-doing on the part of staff, it has usually been the result of a supervisor observing staff updating the Court System from an unusual location or in a suspicious manner and then looking at all updates by the particular staff member for inappropriate or unusual activity. Court management will request improvements in the new system to allow for better monitoring of the activity of court clerks.

**Follow-up Response**

4/26/02

Audit procedures are performed at the division level to review activity of court clerks. However, in most cases, the results of such audits are not documented. Management will review current audit procedures and implement methods for documenting the results of the review process.

09/27/01

Completion pending the addition of a revenue module to the existing Legacy system, or the acquisition of a new case management system.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**C. 3. ii Court System Record Change Access and Monitoring** **No Progress**

**Recommendation**

User-friendly audit trail reports should be created and generated daily from the Court System for review of significant and unusual transactions (see further discussion of audit trail reports at section D1).

**Management's Plan of Action**

Court management is looking into developing improved audit trail reports detailing voids, changes, additions, and adjustments on both revenue and non-revenue terminals. Once such reports are developed, procedures will be implemented for reviewing the reports for significant or unusual transactions.

**Follow-up Response**

4/26/02

Completion of this recommendation is pending upon reengineering the existing Legacy system. Preliminary stages for reengineering the system will begin in the Fall of 2002. The estimated completion date is dependant upon availability of IT resources.

09/27/01

Completion pending the addition of a revenue module to the existing Legacy system, or the acquisition of a new case management system.

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**C. 4. ii Limits On Cash In Drawers**

**No Progress**

**Recommendation**

The Court System should be improved to allow clerks to determine how much cash they have collected.

**Management's Plan of Action**

Management will look into the possibility of the legacy computer system keeping track of and indicating the amount of cash in each drawer.



**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**Follow-up Response**

4/26/02

The current system does not provide cash receipt detail; however, the Court has implemented a cash drawer reduction procedure. The procedure requires clerks to perform multiple deposits in a day. Thus, minimizing the risk of losses. An IT request (HEAT #37423) has been submitted to address this recommendation. The estimated completion date is dependant upon availability of IT resources.

09/27/01

Completion pending the addition of a revenue module to the existing Legacy system, or the acquisition of a new case management system.

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**C. 5. ii Processing of Mailed Payments**

**No Progress**

**Recommendation**

Court management should consider establishing a centralized mail operation for processing all mailed payments and correspondence.

**Management's Plan of Action**

Given the current segregation of court processes in the legacy system, it would be difficult to establish one mail unit to handle all the correspondence coming to the court. The reengineering of the court system should provide for a single revenue system which could facilitate the implementation of this recommendation.

**Follow-up Response**

4/26/02

No change from the previous response.

09/27/01

Completion pending the addition of a revenue module to the existing Legacy system, or the acquisition of a new case management system.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**D. 1. Audit Trail Reports and Monitoring**

**No Progress**

**Recommendation**

While limited measures have been taken by the Court to monitor deletions, voids, corrections and additions, Court management is in need of a consolidated, user-friendly audit trail report which can be used for daily review of these transactions. Once such a report is designed, procedures should be implemented to have personnel of the Court Accounting Unit review the report on a daily basis for significant or unusual transactions.

**Management's Plan of Action**

Court management is looking into developing improved audit trail reports detailing voids, changes, additions, and adjustments on both revenue and non-revenue terminals. Once such reports are developed, procedures will be implemented for reviewing the reports for significant or unusual transactions. We anticipate developing these improved reports by June 2001.

**Follow-up Response**

4/26/02

No change from the previous response.

09/27/01

Completion pending the addition of a revenue module to the existing Legacy system, or the acquisition of a new case management system.

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**D. 2. Bail Register Report Errors**

**Partially Complete**

**Recommendation**

Court management should further investigate the errors within the Bail Register and procedures should be implemented to identify and monitor these errors in a more timely manner until the programming errors can be corrected. Court management should work with IT in addressing these issues.

**Management's Plan of Action**

The Court has looked into these differences and has pinpointed the problems. The problems must be corrected through computer programming. We will continue to work with IT to correct them and in the meantime continue to manually research and correct the errors.

**Department: Municipal Court**

**Report No.: 1999 07 Las Vegas Municipal Court**

**Follow-up Response**

4/26/02

No change from the previous response. The Accounting Unit is reconciling the bail account on a monthly basis and provides the City's Finance office with an adjusting journal entry.

09/27/01

There has been some improvement in the computer system to address these problems, but not all have yet been corrected. The accounting unit is reconciling the bail on a monthly basis and is receiving journal entries from the City Finance office to make corrections. Completion pending the addition of a revenue module to the existing Legacy system, or the acquisition of a new case management system.

**Report No.: 2300 0001 03 Special Report: Municipal Court Mail Unit**

**01. Municipal Court Mail Unit**

**Partially Complete**

**Recommendation**

The functions of opening and logging the mail, posting mailed payments to the Court system, and processing of customer payments at the customer service window should be segregated and performed independently.

**Management's Plan of Action**

Court staff looked into an allegation by a customer that he had made a payment by money order that was not credited towards his outstanding case balance. He sent a copy of the canceled money order, verifying that the Court had deposited it. When this type of incident occurs, the Court performs a preliminary check, and if an explanation cannot be determined and it looks suspicious, it is referred to the City's internal auditors to investigate. The audit review made the determination that there was evidence of theft in this incident but culpability could not be unequivocally assigned due to significant internal control weakness. Since the July 1999 incident, the Municipal Court has initiated the following measures to improve cash handling controls:

- A written "Cash Handling Procedures" manual has been distributed to all staff, supervisors and managers who are involved in receiving payments or requesting payment disbursements. When an employee receives a manual, he/she must sign an agreement stating that he/she will follow the procedures as they pertain to his/her cash handling duties. The "Cash Handling Procedures" are based on the "Minimum Accounting Standards" requirements provided by the State Supreme Court and other Federal, State, local and GAAP standards. The procedures will help to resolve weaknesses that are mentioned in the audit by ensuring that staff members are trained, have

**Department: Municipal Court**

**Report No.: 2300 0001 03 Special Report: Municipal Court Mail Unit**

written guidelines and understand and follow proper procedures.

- There are automated controls needed in the Court's automated case management system that are being requested in a new system package that is being researched.
- The handwritten mail log is being reviewed and tested periodically by the accounting unit. A computerized mail logging system is being developed which will facilitate tracking and retrieving payment information. The computerized log will also provide the ability of reconciling the mailed in payments with the bank deposits and ensure that all payments are accounted for. The mail log is a very important control measure. It must be complete, legible, accurate, and provide a trail to establish proof of payment in lieu of sending a receipt to the customer. The customer may also request that a proof of payment receipt be mailed when the payment has been received.
- Notices are posted emphasizing the right of the customer to receive a receipt when he/she makes a payment. This is an important control measure to ensure that when payments are received, the customer can see that it has been posted correctly to his/her case.
- The use of surveillance cameras has been used for the past few years. This control measure will be further enhanced and monitored more closely.
- The outside auditors performed an unannounced cash count. The Court accounting unit will continue to routinely perform surprise cash counts and audits as a means of reviewing cash handling procedural compliance and detecting any improprieties.
- A log of suspicious activity is being maintained. Managers are provided with a monthly log of overage and shortage and are immediately notified of any large or unusual discrepancies.
- Separation of duties has been accomplished to the extent possible in the space available. When a staff member is absent, substitute clerks must log and enter the receipts in order to keep the process moving. For the most part, one employee logs and another enters the payments into the system.

**Follow-up Response**

6/04/02

Due to the limited staff, the duties are not segregated as suggested in the recommendation. However, management has reviewed procedures and segregated duties to the extent possible in the space available. One clerk usually performs opening and logging the mail and another clerk post the receipts into the system. Several clerks process customer payments at the customer service window because of the volume of customers, breaks or other interruptions that would disrupt the continuous flow of processing payments. New management is currently reviewing procedures to segregate duties to the extent recommended.

**Department: Municipal Court**

**Report No.: 2300 0001 03 Special Report: Municipal Court Mail Unit**

**02. Municipal Court Mail Unit**

**Partially Complete**

**Recommendation**

Two clerks should always open and record mail received by the mail unit.

**Management's Plan of Action**

Court staff looked into an allegation by a customer that he had made a payment by money order that was not credited towards his outstanding case balance. He sent a copy of the canceled money order, verifying that the Court had deposited it. When this type of incident occurs, the Court performs a preliminary check, and if an explanation cannot be determined and it looks suspicious, it is referred to the City's internal auditors to investigate. The audit review made the determination that there was evidence of theft in this incident but culpability could not be unequivocally assigned due to significant internal control weakness. Since the July 1999 incident, the Municipal Court has initiated the following measures to improve cash handling controls:

- A written "Cash Handling Procedures" manual has been distributed to all staff, supervisors and managers who are involved in receiving payments or requesting payment disbursements. When an employee receives a manual, he/she must sign an agreement stating that he/she will follow the procedures as they pertain to his/her cash handling duties. The "Cash Handling Procedures" are based on the "Minimum Accounting Standards" requirements provided by the State Supreme Court and other Federal, State, local and GAAP standards. The procedures will help to resolve weaknesses that are mentioned in the audit by ensuring that staff members are trained, have written guidelines and understand and follow proper procedures.
- There are automated controls needed in the Court's automated case management system that are being requested in a new system package that is being researched.
- The handwritten mail log is being reviewed and tested periodically by the accounting unit. A computerized mail logging system is being developed which will facilitate tracking and retrieving payment information. The computerized log will also provide the ability of reconciling the mailed in payments with the bank deposits and ensure that all payments are accounted for. The mail log is a very important control measure. It must be complete, legible, accurate, and provide a trail to establish proof of payment in lieu of sending a receipt to the customer. The customer may also request that a proof of payment receipt be mailed when the payment has been received.
- Notices are posted emphasizing the right of the customer to receive a receipt when he/she makes a payment. This is an important control measure to ensure that when payments are received, the customer can see that it has been posted correctly to his/her case.

**Department: Municipal Court**

**Report No.: 2300 0001 03 Special Report: Municipal Court Mail Unit**

- The use of surveillance cameras has been used for the past few years. This control measure will be further enhanced and monitored more closely.
- The outside auditors performed an unannounced cash count. The Court accounting unit will continue to routinely perform surprise cash counts and audits as a means of reviewing cash handling procedural compliance and detecting any improprieties.
- A log of suspicious activity is being maintained. Managers are provided with a monthly log of overage and shortage and are immediately notified of any large or unusual discrepancies.
- Separation of duties has been accomplished to the extent possible in the space available. When a staff member is absent, substitute clerks must log and enter the receipts in order to keep the process moving. For the most part, one employee logs and another enters the payments into the system.

**Follow-up Response**

6/04/02

Due to the multiple tasks the unit performs and limited staff, this is not always possible. However, in the event that we are adequately staffed, one clerk opens and logs the mail and another clerk observes this process while performing other tasks. Management agrees with the recommendation that two clerks should always open and record the receipt of mail payments. New management is currently evaluating the multi tasks the Mail Unit performs and will consider this recommendation during the review process.

**Department: Municipal Court**

**Report No.: 2300 0001 03 Special Report: Municipal Court Mail Unit**

**03. Municipal Court Mail Unit**

**Partially Complete**

**Recommendation**

Checks and money orders should be immediately restrictively endorsed.

**Management's Plan of Action**

Court staff looked into an allegation by a customer that he had made a payment by money order that was not credited towards his outstanding case balance. He sent a copy of the canceled money order, verifying that the Court had deposited it. When this type of incident occurs, the Court performs a preliminary check, and if an explanation cannot be determined and it looks suspicious, it is referred to the City's internal auditors to investigate. The audit review made the determination that there was evidence of theft in this incident but culpability could not be unequivocally assigned due to significant internal control weakness. Since the July 1999 incident, the Municipal Court has initiated the following measures to improve cash handling controls:

- A written "Cash Handling Procedures" manual has been distributed to all staff, supervisors and managers who are involved in receiving payments or requesting payment disbursements. When an employee receives a manual, he/she must sign an agreement stating that he/she will follow the procedures as they pertain to his/her cash handling duties. The "Cash Handling Procedures" are based on the "Minimum Accounting Standards" requirements provided by the State Supreme Court and other Federal, State, local and GAAP standards. The procedures will help to resolve weaknesses that are mentioned in the audit by ensuring that staff members are trained, have written guidelines and understand and follow proper procedures.
- There are automated controls needed in the Court's automated case management system that are being requested in a new system package that is being researched.
- The handwritten mail log is being reviewed and tested periodically by the accounting unit. A computerized mail logging system is being developed which will facilitate tracking and retrieving payment information. The computerized log will also provide the ability of reconciling the mailed in payments with the bank deposits and ensure that all payments are accounted for. The mail log is a very important control measure. It must be complete, legible, accurate, and provide a trail to establish proof of payment in lieu of sending a receipt to the customer. The customer may also request that a proof of payment receipt be mailed when the payment has been received.
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**Department: Municipal Court**

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**Follow-up Response**

6/04/02

Checks and money orders are not immediately restrictively endorsed in the Mail Unit because of the research required when payments are received without a corresponding case number. Many of the checks received are usually for another court or in some instances, another business entity. As a result, the Mail Unit endorses checks and money orders at the time the funds are posted into the Court system. Management believes this procedure provides an audit trail for tracking checks posted into the system. However, during the review of the Mail Unit procedures, this recommendation will be considered.



**Department: Municipal Court**

**Report No.: 2300 0001 03 Special Report: Municipal Court Mail Unit**

**04. Municipal Court Mail Unit**

**Partially Complete**

**Recommendation**

All payments should be posted to the Court system and deposited in a timely manner.

**Management's Plan of Action**

Court staff looked into an allegation by a customer that he had made a payment by money order that was not credited towards his outstanding case balance. He sent a copy of the canceled money order, verifying that the Court had deposited it. When this type of incident occurs, the Court performs a preliminary check, and if an explanation cannot be determined and it looks suspicious, it is referred to the City's internal auditors to investigate. The audit review made the determination that there was evidence of theft in this incident but culpability could not be unequivocally assigned due to significant internal control weakness. Since the July 1999 incident, the Municipal Court has initiated the following measures to improve cash handling controls:

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**Department: Municipal Court**

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**Follow-up Response**

6/04/02

Payments received by the Mail Unit are opened and logged on the day they are received. Mail postings into the Court system are performed on a daily basis. There are situation where incomplete postings are carried over to the next day. Deposits are made on the date payments are posted into the system. Management has reviewed this process and believes mail revenue is currently being logged and posted into the Court system timely. Management will continue monitoring this process to evaluate the timeliness of mail postings and deposits.

**Department: Municipal Court**

**Report No.: 2300 0001 03 Special Report: Municipal Court Mail Unit**

**05. Municipal Court Mail Unit**

**Partially Complete**

**Recommendation**

Mail revenue (including checks, money orders, and cash) recorded on the mail log and posted to the Court system should be reconciled daily to the day's deposit.

**Management's Plan of Action**

Court staff looked into an allegation by a customer that he had made a payment by money order that was not credited towards his outstanding case balance. He sent a copy of the canceled money order, verifying that the Court had deposited it. When this type of incident occurs, the Court performs a preliminary check, and if an explanation cannot be determined and it looks suspicious, it is referred to the City's internal auditors to investigate. The audit review made the determination that there was evidence of theft in this incident but culpability could not be unequivocally assigned due to significant internal control weakness. Since the July 1999 incident, the Municipal Court has initiated the following measures to improve cash handling controls:

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**Department: Municipal Court**

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**Follow-up Response**

6/04/02

Due to the multiple tasks the unit performs, it is difficult and time consuming to reconcile the mail log to the Court system. The system does not distinguish mail payments from payments made at the customer service counter; nor does the system track the method of payment. As a result, the clerk confirms check amounts to the log prior to posting mail payments into the Court system. The Mail Unit performs two deposits daily, this provides the opportunity to research out-of-balance situations prior to the end-of-day process. New management is currently reviewing procedures to streamline the multi tasks the unit performs and to implement this recommendation.

**Department: Municipal Court**

**Report No.: 2300 0001 03 Special Report: Municipal Court Mail Unit**

**06. Municipal Court Mail Unit**

**No Progress**

**Recommendation**

Customer inquiries regarding unposted payments should be taken, recorded on a phone log, and investigated and documented by an employee independent of the mail unit.

**Management's Plan of Action**

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**Department: Municipal Court**

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**Follow-up Response**

4/26/02

Due to the limited staff in the Court, calls are not tracked as recommended. The Mail Unit currently handles all calls associated with mail payments. Clerks are responsible for tallying calls handled during their shift; however, natures of the calls are not documented. Statistical reports are prepared and reviewed by management on a monthly basis.

**Department: Municipal Court**

**Report No.: 2300 0001 03 Special Report: Municipal Court Mail Unit**

**07. Municipal Court Mail Unit**

**No Progress**

**Recommendation**

The Court should continue to work with Information Technology in improving its system to include at a minimum 1) identification of the nature of payments, 2) printing of the change amount on receipts, and 3) suspension of processing of transactions while a cash drawer is open.

**Management's Plan of Action**

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**Department: Municipal Court**

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**Follow-up Response**

4/26/02

Completion of the recommendations is pending of a revenue module to the existing Legacy system and the availability of IT resources. Preliminary stages for creating a revenue module to the existing Legacy system will begin in the Fall of 2002.



**Department: Municipal Court**

**Report No.: 2300 0001 03    Special Report: Municipal Court Mail Unit**

**09. Municipal Court Mail Unit**

**No Progress**

**Recommendation**

The Court's mail unit should document policies and procedures specific to its operations. Reference should be made to the Court's recently released "Cash Handling Procedures" manual in preparing the policies and procedures. Policy and procedure manuals should be made available on-line for access by employees and management.

**Management's Plan of Action**

Court staff looked into an allegation by a customer that he had made a payment by money order that was not credited towards his outstanding case balance. He sent a copy of the canceled money order, verifying that the Court had deposited it. When this type of incident occurs, the Court performs a preliminary check, and if an explanation cannot be determined and it looks suspicious, it is referred to the City's internal auditors to investigate. The audit review made the determination that there was evidence of theft in this incident but culpability could not be unequivocally assigned due to significant internal control weakness. Since the July 1999 incident, the Municipal Court has initiated the following measures to improve cash handling controls:

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**Department: Municipal Court**

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**Follow-up Response**

4/26/02

The Mail Unit does not have documented policies and procedures specific to its operation; however, the unit is required to comply with the Court's cash handling procedures.

**Department: Public Works**

**Report No.: 1502 0001 05 Audit of Las Vegas Area Computer Traffic System  
(LVACTS)**

**A. 1. 1. Performance Evaluation**

**Partially Complete**

**Recommendation**

LVACTS management should develop appropriate performance measures and a traffic signal evaluation plan to ensure signals are optimally timed and synchronized.

**Management's Plan of Action**

There is some concern by the Committee and LVACTS management that this statement infers once we install a traffic signal, we never revisit the location or modify the coordination parameters. This is not, nor ever has been, the truth. We act proactively as we:

- observe traffic situations as they change because of development of land that affects the traveled corridors;
- receive both specific and general direction from the parent agencies' Traffic Engineering staff with respect to traffic signal coordination and timing;
- evaluate locations and traffic situations that are brought to our attention from concerned citizens;
- analyze arterials following the installation of new traffic signals or modification of any traffic control devices;
- continually modify and improve the coordination on the traffic signals under TMC control, by way of engineering analysis and fields observation.

We are not like most "other municipalities throughout the country," and due to the area's dramatic growth, we must operate in a much more dynamic environment. Accordingly, we visit arterial progression on major roadways several times a year in many cases, whereas some municipalities need only review their traffic signal's operation every five to ten years.

In addition to these important activities just mentioned, the direction given by the OMC for the last two years has been for the LVACTS management to begin tracking this work spent on traffic signal timing and re-timing projects. Additionally, performance measurements were requested Committee, as well as establishing bench marks for any of our primary performance measurements.

In the first proactive step, the current LVACTS management proposed, and the OMC approved, the purchase a traffic signal system timing optimization program. We selected the most widely used and accepted program by the Traffic Engineering community that was available on the market today.

**Department: Public Works**

**Report No.: 1502 0001 05 Audit of Las Vegas Area Computer Traffic System  
(LVACTS)**

Synchro and SimTraffic are used to help model the traffic signal timing parameters, vehicle progression on arterials, and overall delay to the vehicles within the entire system. Following this purchase, LVACTS sent two key staff members to training in Dallas, Texas by the developer of the software, and the initial entry of the technical data has begun by these LVACTS employees. When completed, we will use this program as another tool to help validate the coordination parameters that we use in our traffic signal system timing.

The process of entering this data is meticulous, and requires a great deal of raw data and information such as intersection turning movement counts and roadway geometrics. This initial process of building the original network will take considerable time, because it is not just for the city of Las Vegas, but for the entire valley. Currently, some of this data is available, and we have a consultant acquiring nearly 300 additional locations. Further count data acquisition, software operational training, intersection geometric field research, and substantial technical data entry is required to have a reliable model to make accurate decisions with regards to modifications in traffic signal coordination.

In addition to these programs, we are investigating the acquisition of Passer II, Transyst 7F, and HCS to also help evaluate traffic signal timing parameters. Each of these programs have their strengths and weaknesses in traffic signal simulation, and must be used for specific applications. No matter which software program we use, however, with the copious amounts of data to be entered, it will take considerable resources to complete the original seeding of the network. Nonetheless, we are confident we can have a substantial portion of the model populated within a year, if we can get our newly-budgeted positions filled in the near future.

Another improvement recommended by the current LVACTS manager and approved by the OMC was the purchase of hardware and software needed to perform travel time and delay studies (known as a “chase vehicle study” or “floating vehicle study”). With this equipment, we will begin to periodically track the time taken to drive a given arterial at a certain time. This will be valuable information when determining where improvements can be made to the coordination timing. According to the supplier, this equipment must be installed in a late model vehicle, so we are awaiting the arrival of one of the vehicles that was budgeted by the OMC for FY 00-01. Vehicle Services has told us that it should be arriving in the near future, possibly as early as February. After installation of this equipment, we will begin establishing a base line, then develop a periodic schedule when we actually begin monitoring the arterials we control. Only after this program has begun, can we determine the resources needed to effectively carry out this ambitious, but necessary, program, and in what time frame.

**Department: Public Works**

**Report No.: 1502 0001 05 Audit of Las Vegas Area Computer Traffic System  
(LVACTS)**

The other method stressed by the Committee of measuring performance has to do with staff and resource allocation. This process was conceived by current management and developed with the assistance and input of LVACTS staff. It has started to be used by all employees in the LVACTS organization. It is as follows:

Three months ago a “Task Management Program” was implemented, whereby all staff members are beginning to track all of their time spent during the day to specific tasks.

The second phase of this project is just beginning to be implemented with a “Complaint Tracking System.” This will allow us immediate feedback to all complaints that come into the TMC, to help us determine if our actions are sufficient or need to be modified.

The third aspect of our complete performance measurement system is to be the “Work Orders.” These will identify the exact work performed on any given task, and allow the agencies the ability to know the extent of work performed on their assets.

This data will be entered into an Access database, and will be available for retrieval with specific queries for historical purposes. Current LVACTS management is phasing this new program in, and hopes to have it online and fully functional within the next eight to ten months.

**Follow-up Response**

4/22/02

As was noted in the initial response, much of this recommendation had already been implemented at the time of the original audit report. The numerous programs needed to implement these processes were initiated at various stages starting in 2000, and have continued to be initiated into 2002. The procedures and methods of performance measurements will be continually improved and fine-tuned as we evolve as an organization and accumulate certain information from the acquired data.

**Department: Public Works**

**Report No.: 1502 0001 05 Audit of Las Vegas Area Computer Traffic System  
(LVACTS)**

**A. 1. 2. Performance Evaluation**

**Partially Complete**

**Recommendation**

As required by the interlocal agreement, the OMC should file an annual performance report to the participating agencies.

**Management's Plan of Action**

The accumulated data discussed in the previous section (1.1.) will help the LVACTS organization and the OMC file an annual performance report to the participating agencies. As an appointee of the Committee, the LVACTS manager should be the drafter of this document, and submit it to the OMC for approval. Some of the information that will be part of this annual report will be as a result of a new idea proposed by the current LVACTS Manager. If the Committee is so inclined, he will be scheduling a "Technical Review Meeting" every three to six months. During these meetings, all member agencies will have technical staff present, and will discuss any timing modifications made to the coordination parameters of any devices within the system, as well as the reason for the change. Also, at this time, any future projects will be discussed or considered. All agencies will be able to provide input to LVACTS, and LVACTS staff will be able to explain the reasons for their decisions. This will be a casual, technical meeting, in a cooperative environment, and the discussion will be recorded in document form for all of the member agencies to read; the annual report can be formulated from this information.

**Follow-up Response**

4/22/02

The data acquired in the previous section will be used for this purpose. It is scheduled to be completed for FY '01-'02 at the end of June 2002.

**Department: Public Works**

**Report No.: 1502 0001 05 Audit of Las Vegas Area Computer Traffic System  
(LVACTS)**

**A. 2. 1. Business Resumption Plan**

**Partially Complete**

**Recommendation**

LVACTS management should develop a formal business resumption plan to avoid traffic control disruption.

**Management's Plan of Action**

Ever since the original LVACTS hardware was installed and activated, and turned over to the agencies for maintenance by Pinnel, Anderson, Wilshire, and Associates (PAWA) in 1984, there has been a very effective business resumption plan in effect. These procedures have kept traffic control disruption to a minimum, and have worked quite well since that time; this continues on to today. In fact, after discussion with staff, it seems that the central computer's "up time" has been near 99.9%.

Accordingly, when a failure occurs on the UTCS system (old system), a phone call to key individuals is automatically placed to their home phones numbers as well as their cellular phones. Upon arrival to the Traffic Management Center (TMC), these qualified individuals assess the situation, whether it be software or hardware, and determine the extent of the failure. Repairs are immediately initiated, if possible, or a local company is contacted, who is under contract, for additional resources. This process has worked quite effectively since the system was originally put into service, and we have no reason to think it would not continue to be effective.

It is understandable that someone not familiar with this organization may not be able to see how effective our procedures are, but that does not mean they do not exist. In fact, during the first decade of the organization, there were only a few staff members, and this sparse staffing allowed for distinct tasks to be performed by specific individuals.

Current LVACTS management, however, also understands the audit's concern that a more formalized, well-documented plan may become more critical as the organization grows in numbers and sophistication. Therefore, though the processes in effect have performed worked well up to now, we will now write down these procedures for business resumption in the event of an "old system" failure within the next six months.

As for the new the "new system," the required documentation concerning the necessary information needed to reinitiate the system following a software failure will be supplied by the system integrator before final acceptance. We are anxiously awaiting this information, and fully expect it to be delivered by the consultant, when the system is fully installed.

**Department: Public Works**

**Report No.: 1502 0001 05 Audit of Las Vegas Area Computer Traffic System  
(LVACTS)**

**Follow-up Response**

4/22/02

This will be an ongoing process that has already been initiated. As such, we have begun to identify some of our critical processes, and have assembled the appropriate contingency responses into a specially marked file. We will be assembling an Operations and Management (O & M) Manual as a result of this information.

**A. 2. 2. Business Resumption Plan**

**Partially Complete**

**Recommendation**

LVACTS should regularly review, update, and test the business resumption plan.

**Management's Plan of Action**

LVACTS will continue to review and update its business resumption plan as it has since it began operations. As the situation exists today, testing of a plan by taking the central computer "off-line" would cause substantial negative impact to the motorists and users of the valley's roadways. It is important to understand, however, that the motoring public's reliance on this older equipment is being minimized every day as we remove traffic signals from the UTCS (old system) and place them on the new ICONS/2070N-based system (new system).

As for the new the "new system," the required documentation dealing with the business resumption plan will be completed following the acceptance of the system. Following the acquisition of this documentation, a comprehensive, thorough, and well thought out plan will be implemented and followed.

**Follow-up Response**

4/22/02

This will be an ongoing process that has already been initiated. We will be assembling the O & M Manual as a result of this information, which will include the documentation as part of the new system processes.



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**A. 3. 1. Physical Security**

**Partially Complete**

**Recommendation**

LVACTS should ensure that the LVACTS facility is secure and that access is restricted to individuals who have been authorized by LVACTS management or the OMC.

**Management's Plan of Action**

Following the departure of the former System Manager, the keys to all to the building's locks were changed as a matter of standard procedure. At that time, the two doors in the rear were changed to accept the city's Grand Master key, which is a closely controlled key, according to the city's locksmith shop. The front door keys were changed as well, and all of the LVACTS staff have keys. This was a decision by current LVACTS management because of a change in administrative policy, to help the LVACTS staff keep lines of communication open between the front and back office. As such, all staff members are now required to enter and exit through the front door. The back door should only be used for deliveries, loading/unloading of equipment, or emergencies.

In addition to this, the OMC has requested that LVACTS management look into additional security measures to be implemented. Discussions have been held with external security companies, and some suggestions have included camera surveillance, as well as armed response by a private company. This process is currently underway, and a recommendation by LVACTS staff should be forthcoming within the next six months. At that time, LVACTS management will ask the Committee if it feels if any other efforts are in order to secure the facility and assets.

**Follow-up Response**

4/22/02

The OMC has approved and LVACTS has purchased a CCTV-based security system; we are finalizing the installation of the cameras to make the system fully operational. Security measures have been become even stricter with the introduction of the Homeland Security measures being dictated by all Traffic Management Centers throughout the country at the suggestion of the Federal Highway Administration (FHWA).

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**A. 3. 2. Physical Security**

**Partially Complete**

**Recommendation**

LVACTS staff should maintain a log of all visitors and accompany visitors while in the facility.

**Management's Plan of Action**

The suggestion for a visitor's log book will begin as soon as we acquire the log book from the office supply store; we hope this will be within the month. Additionally, LVACTS management will reinforce a policy that has existed in the past, whereby all visitors will be accompanied while within the facility. This has historically been practiced, but will be monitored and more strictly followed in the future.

**Follow-up Response**

4/22/02

LVACTS Staff has begun the process of monitoring entry into the TMC. Only escorted or approved guests can enter into the Control Room area. The front office and the conference room are still able to be accessed by the public, as this is a public facility. Additionally, an OMC approved CCTV Security system will aid in tracking individuals that enter and leave the facility as a permanently recorded image in digital form.

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**A. 3. 3. Physical Security**

**Partially Complete**

**Recommendation**

All equipment and supplies should be stored in a secure area.

**Management's Plan of Action**

This recommendation will be put into place as soon as the land adjacent to the TMC is approved by the State of Nevada for the placement of a separate trailer to house maintenance staff and materials, as well as an additional storage shed. When these buildings are in place, the necessary space within the TMC will be freed up to securely store equipment and supplies needed for the system's operation and maintenance. We have been waiting the final notification of approval of this agreement from the State, and once finalized, we will proceed with the building acquisition, as approved by the OMC.

An additional measure has been developed by the current LVACTS management, and approved by the OMC. Asset tracking is in the best interest of all stakeholders in the LVACTS organization, and

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is just beginning to take shape. In early January, we received durable asset numbering labels and will begin placing them on all devices purchased by any source and used or maintained by the organization. This equipment will be tracked on an Access database, and will be the start of a program to track and secure all equipment and supplies used by LVACTS. This process will begin as soon as we can get the procedure in place, but will take considerable time to fully complete due to the number of assets for which LVACTS is responsible. In fact, it will never be complete, since assets are always being added to the LVACTS organization.

**Follow-up Response**

4/22/02

LVACTS has been working with the Nevada Department of Transportation in resolving the placement of an additional maintenance and storage facility adjacent to the TMC. This will make room for us to have dedicated storage. Additionally, Staff has begun the process of tracking the assets of which we are responsible. This will continue as our responsibilities grow with additional infrastructure.

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**A. 4. 3. Funding Allocation**

**Partially Complete**

**Recommendation**

Indirect costs associated with being the LVACTS central operator should be included in the LVACTS operating budget.

**Management's Plan of Action**

The fact that this recommendation was not addressed in the original LVACTS inter-local agreements or subsequent addendums makes it difficult to be unilaterally implemented by any party. If any party chooses to proceed with this recommendation, either the original agreement must be modified by an addendum, or this cost must be brought up during the regular annual budget process, and approved by a majority of the voting OMC members. If neither of these are accomplished, legal counsel should be sought to determine if this may be a breach of contract.

**Follow-up Response**

4/22/02

This issue has been addressed in the new Freeway And Arterial System of Transportation (FAST) agreement currently being presented to each elected body for approval, and scheduled to be executed on July 1, 2002. This will displace the current LVACTS Interlocal agreement, and makes a point to specifically allow for the reimbursement of services by the "Central Administrator."

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**A. 6. 2. Training**

**Partially Complete**

**Recommendation**

LVACTS management should create job responsibility and procedure manuals and establish a cross-training program to limit their exposure to loss of knowledge with employee turnover.

**Management's Plan of Action**

Cross training is a great idea, and will be pursued to the level that is possible by current management. As the sophistication of the system increases, so does the complexity of assignments required by staff. In turn, specialization within one's responsibilities becomes more of a reality. This is not to say that we cannot cross train individuals, but due to the diverse backgrounds needed to perform specific functions, it may only be to a certain level.

Nonetheless, when an individual in the organization approaches us and expresses a desire to "cross train" in another position, we do what we can to accommodate them. This interest by staff members is demonstrated by stating it in their Career Development Action Plan (CDAP). We must verify that they have the appropriate training, education, and background (i.e. clerical to clerical, technical to technical, managerial to managerial), and only then we can move forward. Limited cross training is appropriate and desirable, but caution must be used that in the process we do not "work someone outside their classification," for that could be construed as a contract violation with the binding City Employees Association (CEA) agreement, and this action is not acceptable by the OMC, or current LVACTS management.

As for the suggestion of developing job responsibility guidelines, these are being developed along with a general reorganization of LVACTS approved by the OMC last year. In conjunction with this reorganization, we are reviewing all duties performed by staff at the TMC, and working with Human Resources in developing appropriate job descriptions. Much of the technology has changed, and even more change is to come, as the new system undergoes final acceptance. These changes require a realignment of duties by all staff members, and this process is a work in progress. This entire process will take at least another year to fully complete, but will be well worth the effort to help the organization acquire the appropriate personnel in future hiring decisions.

After this realignment process is complete, all staff members will assist management in developing procedure manuals in relation to their jobs. These will then be compiled by management into a portfolio, and made available for use by employees that may follow. As the system evolves, so will these manuals, thus these will never be completely done.

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**Follow-up Response**

4/22/02

This has been, and will continue to be, a priority to the OMC and the current LVACTS Manager. The O & M Manual currently being developed that was discussed an earlier section will help the organization achieve this goal.

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**B. 2. 1. System Back-up and Restoration**

**Partially Complete**

**Recommendation**

LVACTS management should reassess the adequacy of the current system back-up and restoration procedures (Appendix A).

**Management's Plan of Action**

A point must be clarified here concerning the "old system" and the "new system." These are two divergent technologies nearly twenty years apart. Accordingly, the handling of back up and restoration procedures will naturally be handled in a different manner for each.

As such, the documentation and procedures for back up and restoration of data on the "new system" will be delivered by the system integrator upon final acceptance as contractually required. We will verify all of the practices noted in Appendix A will be checked for delivery in the final acceptance of this documentation.

The "old system" has had a back-up and restoration procedure in effect since it was put into service sixteen years ago. Daily UTCS backups are performed with weekly backups onto tape drives. Two copies are made for later retrieval. This process has worked without fail since the mid 1980's and we have no reason to believe it will not work until the system is finally decommissioned, in the near future. To minimize concern generated by this audit, we will have these procedures documented, along with the frequency at which they occur within the next four months.

We will also pursue the location of an off-site storage facility. It is likely we will be working with the city's Information Technologies Department in determining an adequate location. We will endeavor to have such a location within the next six to eight months, and use it for storage of both "new system" and "old system" archives.

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**Follow-up Response**

4/22/02

LVACTS Management and Network Administration staff has performed such an evaluation, and has implemented off-site back up procedures as well as various daily and weekly data back ups with on-site facilities.

**B. 2. 2. System Back-up and Restoration**

**Partially Complete**

**Recommendation**

System back-up and restoration procedures should be documented and implemented.

**Management's Plan of Action**

A point must be clarified here concerning the "old system" and the "new system." These are two divergent technologies nearly twenty years apart. Accordingly, the handling of back up and restoration procedures will naturally be handled in a different manner for each.

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**Follow-up Response**

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LVACTS Management and Network Administration staff has implemented various daily and weekly data back ups with on-site facilities as well as protected off-site back up procedures. These written procedures will become part of the O & M Manual.

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**B. 3. Preventive Maintenance**

**Partially Complete**

**Recommendation**

LVACTS should establish and implement a formal preventive maintenance program.

**Management's Plan of Action**

Current LVACTS management realizes that in the past a different emphasis may have been place on maintenance of the system by past Managers. Today, however, because of the OMC's direction, a new focus towards a combination of in-house and out-sourced preventative maintenance is provided by the LVACTS operation. We have started the process by showing the following examples:

- Preventive maintenance on the CCTV system has begun by in-house staff.
- Periodic checks and maintenance of the backbone microwave system are now being performed by in-house staff.
- We have out-sourced contracts for preventative maintenance on the Uninterruptible Power Supply (UPS) within the TMC.
- We have performed various preventative maintenance procedures on the UPS located in the Hub cabinets.
- We have a maintenance contract for the Perkin/Elmer 3230 (this has been in effect since the unit was installed).
- We have begun accepting competitive quotes for preventative maintenance on the air conditioning units within the hub cabinets.

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- We have requested a official proposal for the original installer of the backbone microwave system for a multi-level service maintenance contract.
- We have begun to develop specifications for loop detector maintenance to be out sourced.

In a far-reaching, money-saving, and efficiency-improving move, the OMC has approved hiring of additional communication staff as well as other staff to help in the preventative maintenance. The current LVACTS Manager is presently in discussions with Human Resources in finalizing the job description for these positions.

**Follow-up Response**

4/22/02

This program has begun, and will continue to evolve as we add more equipment as the devices we are required to maintain increases.

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**B. 4. Standardization of Hardware and Software**

**Partially Complete**

**Recommendation**

LVACTS Management should work with the OMC to develop hardware and software standards.

**Management's Plan of Action**

This section in the auditor's report insinuates that the OMC has no standardization of equipment within the system. In fact, this is not the case, since a major reason for using the 2070N as the traffic signal controller, as opposed to others, within the new system was for equipment and operating software standardization. Because of this decision, we now have an "open architecture" design and greater equipment standardization than ever before. We have moved from over a dozen different types of controllers used to operate the traffic signals in the valley, to a single one. Additionally, we have went from an extremely expensive communication unit (the Sonex LCIU) on the old system to a relatively inexpensive modem used throughout the new system.

In relation to the new system, the old system had few components, and LVACTS worked with the OMC to develop county-wide specifications approved through the Regional Transportation Commission (RTC) specification process. These specifications are then used by all local agencies in the valley when letting projects go to contract. This process will be continued with the new system, and its assorted components. As an example, in the past six months, current LVACTS management has developed standardized specifications for Data Radio, CCTV equipment, PTZ



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Receivers, and Fiber Optic equipment. As other pieces of equipment are purchased, additional specifications will be developed for LVACTS and Agency use. We expect this process will continue as new equipment is brought on line in the system.

In addition to all of this work done by LVACTS staff, there is Communications Master Plan developed and approved by the OMC that is currently being completed by a consultant from which the stakeholders of the system can draw. This plan will identify future growth plans, as well as standards and specifications to be reviewed and potentially adopted by the local agencies, LVACTS, and the RTC. This is a unified, valley-wide approach to standardization, and will help give us an expert, unbiased opinion with respect to them.

One caveat that is important to understand is that traffic system technology changes because it takes advantage of advances in computing and communications, with improvements seen every almost daily in the industry. Accordingly, we feel this organization would not be doing its job to the taxpayers most efficiently if we were to stagnate, and not take advantage of the latest proven, cost-effective technologies. This organization, therefore, must be ever vigilant, and not fall guilty to the very real concern of “over standardization,” which has been a problem seen in other organizations.

**Follow-up Response**

4/22/02

This recommendation has begun to be put into motion, and will continue to evolve as we grow as an organization. We have become the “custodian” of the valley’s communication device specifications, and will be presenting these to the Regional Transportation Commission for regional approval.

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**B. 5. 1. System Monitoring**

**Partially Complete**

**Recommendation**

LVACTS should implement system-monitoring tools such as anti-virus, change control, and system performance software to maintain the integrity of the traffic control system.

**Management's Plan of Action**

Much of this software recommended by the audit will be provided the system integrator before final acceptance. The software that is not supplied, yet will be needed, will need to be identified as compatible with the proprietary software used for system control. Consultation with the software developer will occur to ascertain the ability to interface with our central system software upon final acceptance, and we intend to use the audit's guidelines for required functionality. We will know more after the new system becomes ours.

**Follow-up Response**

4/22/02

LVACTS Management and the OMC agrees with this, as it is still part of the deliverable before final sign off of the new system software.

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**B. 5. 2. System Monitoring**

**Partially Complete**

**Recommendation**

LVACTS should maintain electronic records of communication and controller errors.

**Management's Plan of Action**

Though due to technological shortcomings, we could not do what this recommendation states on the UTCS system, this has always been the intent with the new system. The software developer has assured us that the logging feature will be active within the supplied software. With this feature, used in conjunction with the archiving of specific data, we will be able to maintain electronic records of communication and controller events, for retrieval at a later date. These will not only be limited to "failures," but will encompass all events.

**Follow-up Response**

4/22/02

LVACTS Management and the OMC agree, and this has been demonstrated as part of the new system functionality; it will be fully implemented when the new system is accepted.